

RESULTS REVIEW AND RESOURCE REQUEST

USAID/RUSSIA

APRIL 2000

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USAID/Russia Results Review and Resource Request

I.	Program Overview	2
II.	Strategic Objective Narratives.	5
	A. SO 1.3: Accelerated Development and Growth of Private Enterprises	
	B. SO 1.4: Improved Economic Infrastructure to Support Market-Oriented Growth	
	C. SO 1.6: Increased Environmental Management Capacity to Support Sustainable Economic Growth	
	D. SO 2.1: Increased Better Informed Citizens' Participation in Political and Economic Decision-Making	
	E. SO 2.2: Strengthened Rule of Law and Respect for Human Rights	
	F. SO 3.2: Improved Effectiveness of Selected Social Services and Benefits	
	G. SO 4.1: Special Initiatives	
	H. SO 4.2: Cross-Cutting Initiatives	
III.	Resource Request	50
IV.	Annexes	53
	A. Environmental Impact	53
	B. Results Framework.	54
	C. Global Climate Change	56
	D. Changes in the Management Contract	58
	E. Budget Tables	58

I. Overview and Factors Affecting Program Performance

Approved in April 1999, the Mission's Country Strategy outlines USAID's approaches and activities in Russia through 2003. The activities are grouped under eight Strategic Objectives in the areas of economic, democratic, and social transition. Despite the economic turmoil and political changes during the past year, all three areas have achieved substantive results, thus building a solid foundation for the adoption and use of democratic principles and free-market mechanisms in Russia.

Under economic transition, \$2.5 million in micro loans were disbursed to 2,718 borrowers by USAID partner organizations in 1999. Since 1995, 7,100 microenterprise loans were disbursed by USAID. Women received 71 percent of the total, or 5,007 loans. Entrepreneurs receiving support from USAID's business support centers obtained \$36.9 million in credit through 1999. Economic policy organizations assisted by USAID published 27 papers ranging on topics from the banking crisis to the social obligations of the State in 1999. These papers were used to present policy recommendations at conferences open to Russian decision-makers and the general public. In FY 1999, USAID trained 3,670 Russians in the use of international accounting standards. Amendments to the General Part of Russia's tax code signed into law in July 1999 brought the tax code, which reflected expert advice from USAID advisors, into compliance with the civil code. Overall, improved environmental management practices were replicated in 78 percent of Russia's oblasts due to USAID interventions. During 1999, USAID developed and strengthened 210 eco-business organizations.

Under democratic transition, USAID grantees in 1999 trained over 1,000 political party election observers to bolster domestic observation efforts, thus increasing the level of trust in the fairness of elections. Partly due to USAID assistance, the share of viewers in Russia's regions watching private television stations (as opposed to State television) jumped from zero in early 1991 to 25 percent by 1997 and 42 percent by 1999. Overall, USAID-assisted non-governmental organizations spoke at public hearings or provided expert commentaries on legislative or policy issues at least 181 times in 1999. This increased interaction of civil society with government is an encouraging trend. USAID work with the Judicial Department continues to strengthen the independence of the judiciary in Russia. USAID programs during 1999 helped Russian legal professionals learn about newly enacted commercial laws and about issues affecting women's rights. This year, thirty more regions, for a total of sixty regions, now have non-governmental organizations which monitor and contribute to Russia's human rights report. Supported by USAID, reports on the human rights situation in thirty regions of Russia, as well as a country-wide report, were published in September 1999.

Under social transition, preliminary findings from a survey of 6,000 women indicate that abortion rates in USAID project sites fell while they remained constant in control sites. The number of family planning clinics offering family planning counseling and choice of contraceptives reached 48 in 1999. The Mission's HIV/AIDS strategy established and strengthened two partnerships between U.S. non-governmental organizations and Russian organizations. The Mission, in collaboration with international and local partners, identified sites for pilot tuberculosis projects for implementation of tuberculosis therapy, including treatment of multi-drug resistant tuberculosis. Based on Mission successes in housing, where over 90 percent

of Russian communities adopted housing allowance programs, USAID launched a program to introduce more equitable and efficient methods for delivering social services. Our new Assistance to Russian Orphans activity was initiated to provide community-based services to support families and assist graduation orphans.

Overall in FY 1999, USAID continued to direct significant funding for the activities described above toward reform-minded regions under the Regional Initiative. Regional Initiative sites are Samara, Novgorod, Tomsk, and the Russian Far East (with principal emphasis on Sakhalin Island). USAID-supported activities in these four sites include: economic reform activities such as development of micro-credit facilities, small- and medium enterprise support by Russian-run business development centers, and assistance with local budgeting and budgeting transparency; democratic reform activities such as assistance to non-governmental organizations and independent media; and social reform activities such as assistance to slow the spread of HIV/AIDS and tuberculosis. These activities and other U.S. Government activities are concentrated in the four sites to demonstrate that coordinated U.S. assistance in specific reform-minded regions can effectively accelerate economic and democratic transition, foster U.S.-Russian economic and community-based linkages, and promote increased trade and investment.

USAID achievements in the Regional Initiative sites and in other regions of Russia have ensured that implementation of USAID/Russia's Country Strategy is on track. However, several country factors continue to negatively influence progress. Although the Mission successfully modified its program approach in response to the economic crisis, our key partners, including independent media, non-governmental organizations, small- and medium-sized private enterprises, and health facilities, still face challenging financial issues due to lack of sustainable economic growth. Pervasive corruption continues to permeate all levels of Russian society, which, in conjunction with weak rule-of-law, slows the economic transition. State authorities at all levels and powerful oligarchs have significantly expanded their influence over the media, thus accelerating a damaging tendency to replace professional journalism with partisan coverage both in the print and broadcast arenas. Finally, U.S. Government restrictions on use of funds for the Russian Government have constrained our work with women's health, HIV/AIDs, and tuberculosis, where the Russian Government plays a major role.

Prospects for progress through FY 2002 are positive based on this year's program successes. However, changes in economic and political policies that will result from the recent elections have not yet been clarified. If new policies support economic and democratic transition in Russia, then actual policy implementation at the operational level will be the key challenge facing Russia during the next few years. This challenge could affect USAID programs by either spurring the further creation of a free-market and democratic society, and, thus, quickly amplifying the impact of the USAID program and creating a need for additional resources. By contrast, slow or no policy implementation by the Russian Government would mean that USAID would continue its present focus on the evolving needs of the Russian people in the regions. In this case, it is unlikely that the Mission would greatly increase the number of its activities or increase funding for the Russian Government at the federal level. The USAID program formed a key part of Embassy/Moscow's mission in Russia for 1999. The USAID country program directly supports U.S. goals and national interests, as outlined in the U.S. Embassy's Mission Performance Plan for 1999. The national interests include national security, economic

prosperity, global environmental protection, and the development of participatory democracy. Overall our activities under economic transition programs supported economic prosperity through promoting broad-based economic growth and recovery both at the policy level and at the level of the individual entrepreneur. Our economic transition programs also strengthen U.S.-Russian commercial relations. Activities under the environmental program promote global environmental protection by helping protect Russia's environment, which encompasses global stocks of strategic natural resources. USAID activities under participatory democracy promote genuine democratic transition in Russia at the grassroots level. Finally, activities in the social sector program support national security and economic prosperity by helping improve the effectiveness of social safety net sector services, particularly health, reducing the spread of disease within Russia and across international borders. More specific linkages between our strategic objectives and the Mission Performance Plan are described in the individual strategic objective narratives.

II. Results Review by Strategic Objective

Strategic Objective 1.3: Accelerated Development and Growth of Private Enterprises (118-013-01)

Self-Assessment: The strategic objective is on track and is performing much better this year than last year as contractors and grantees have adjusted their programs to respond to and recover from the financial crisis.

Summary: This objective supports Embassy/Moscow's goal of Broad-Based Growth and the U.S. national interests of economic prosperity and national security, as defined in the U.S. Embassy's Mission Performance Plan for 1999. Specifically, the activities under this objective promote Russian economic recovery and strengthen U.S.-Russian commercial relations.

USAID stimulates economic growth in Russia by fostering the development of micro, small, and medium-sized enterprises primarily in the Regional Investment sites. The Mission's immediate goal is to increase economic opportunities for Russians to allow them to improve their standard of living. The Mission's ultimate aim is to create a more prosperous market-oriented economy capable of meeting the economic needs of the Russian people. To do so, USAID supports two primary activity areas: 1) business support institutions run by Russians, which offer training, counseling, internet use, and appropriate referrals to help entrepreneurs obtain business opportunities and financing; and 2) greater access to finance for Russian entrepreneurs from non-bank financial institutions. Success in these activity areas is measured by four intermediate results (IR), which are described under "Key Results" below.

Our customers are current Russian entrepreneurs who receive training, technical assistance, and credit, and future entrepreneurs who are reached by USAID programs while still in school. Other customers are the people employed by the businesses assisted by USAID.

Key Results: Four key results are necessary to achieve this objective, as described by the following indicators: 1) SO 1.3: small and medium-sized enterprises (SMEs) increase over time; 2) IR 1.3.2: successful models of private ownership and modern management are widely replicated; 3) IR 1.3.2.1: modern management practices adopted by private sector firms; and 4) IR1.3.4: increased access to financing by micro and small business entrepreneurs. The last indicator on microenterprise loans is new. It portrays our work in the microenterprise financial sector, particularly as regards Russian women who are active entrepreneurs.

Overall, progress on the four indicators above has been very solid. Lessons learned from a 1999 external evaluation of the Mission's Business Volunteer Program (BVP) allowed us to refine our relevant cooperative agreement to better achieve our indicators.

Performance and Prospects: Currently on-track, this objective is expected to meet or exceed all targets through FY 2002.

During the past seven years, USAID-supported organizations identified the key impediments to private sector growth in Russia that can be addressed through targeted interventions. To reduce

or eliminate these impediments, these organizations implemented private enterprise development programs. Their impact is described in the four indicator tables. Specifically, the table for SO 1.3 demonstrates that the overall number of small businesses registered in Russia continues to grow, although the rate of growth has slowed. Since all small businesses must register, this indicator represents the results of activities under this strategic objective, other Mission and donor interventions, and private entrepreneurial initiatives. The increase from 1998 to 1999 was most likely due to a change in the source of the statistics. IR 1.3.2 tracks the number of actual jobs created by businesses assisted by USAID programs under this strategic objective. This indicator shows an encouraging incremental increase. We are requesting this information by gender for the next reporting period. IR 1.3.2.1 shows the improved access of assisted businesses to external financing. Results were positive, but negatively affected by the economic crisis. IR 1.3.4 tracks the growth and expansion of the microfinance programs supported by USAID. Of note, women received 71 percent of the 7,100 loans made by our partner organizations.

The USAID contractors and grantees contributing to achievement of the targets are engaged in wide range of business programs. Specifically, we support the development of the network of 59 Morozov Centers throughout Russia through the Academy for Management and the Market (AMM). The AMM is a completely Russian-managed organization that offers training and consulting services to businesspeople, and is also providing leadership in the development of innovation technology businesses. Under AMM guidance, the Morozov Centers should become self-sustaining as local demand for business services increases over the medium- and long-term.

USAID also supports a network of 33 Business Support Institutions (BSIs) that provide high quality business support services to the Russian SME sector throughout Russia. Already, 12 BSIs are fully self-sustaining, helping fulfill USAID's plan that all 33 eventually will not require USAID support. Another 21 BSIs help implement USAID's BVP activities that offer Russian entrepreneurs and SMEs consulting services and direct technical assistance from U.S. business volunteer consultants. A key part of this program is the U.S. grantee's work with the 21 BSIs to enable them to conduct business volunteer programs with U.S. business volunteers without USAID assistance. This achievement would mean that local Russian organizations would be able to support the SME sector long after USAID assistance to Russia ends.

In 1998, USAID began a partnership directly with Junior Achievement Russia. This program has grown into the second largest Junior Achievement program in the world. The program is now completely Russian run and managed, from a small office in Moscow and in 41 regional centers. It has reached over 900,000 Russian young people. If the growth trend continues, the one millionth student will participate in the program in 2000.

In addition to directly assisting businesses, entrepreneurs, and students, USAID works with federal, regional and local governments to improve the policy and regulatory environment for small businesses. Under the U.S.-Russia Bilateral Commission's Small Business Working Group, USAID assists the Ministry of Antimonopoly Policy and Entrepreneurship Support (MAP) to implement an action plan to improve legislation and regulations affecting small business. Under the Regional Initiative (RI), USAID in cooperation with the Novgorod business community as well as city and oblast administrations recently established a Small Business Advisory Council. This Council will develop a small business action plan to outline steps for

overcoming obstacles and promoting increased growth within the Novgorod small business sector. All information and results produced by the Council will be submitted to MAP for action by the Small Business Working Group. In the coming year USAID plans to develop and implement similar support projects in two RI sites. Support to local governments on finance and governance, including budgeting, will be continued to be provided in RI sites.

Microenterprise loans are a key area for USAID. The Mission believes that roughly 70 percent of the three million entrepreneurs in Russia are very small business people who do not require great amounts of capital, but have no access to credit. To meet the needs of this group, USAID funds sustainable microfinance institutions (MFIs) which provide group and individual loans without using the formal banking sector. In 1999, a total of \$2.5 million in micro loans were disbursed to 2,718 borrowers. This approach channels USAID funding to experienced U.S. MFIs for loan disbursement to small entrepreneurs. These MFIs are now registering their Russian organizations as funds for small business, which will be able to provide loans long after USAID assistance ends.

Parallel to the microenterprise programs, the Mission is developing a credit fund for lending through credit cooperatives to farmers. The program will receive ruble funding from this year's food aid program under the U.S. Department of Agriculture.

Actual lending to microentrepreneurs must be supported by a favorable policy environment. Two recent major policy accomplishments, spearheaded by MFIs, primarily funded by USAID, underscore positive changes in the legal climate. First, MFIs in Russia can now operate legally without a license from the Central Bank of Russia. Second, under the new Law on Value-Added Tax (VAT) passed in January 2000, MFIs registered as funds for SME support are exempt from VAT on interest earnings, an exemption previously granted only to commercial banks. Hence, microfinance in Russia, pioneered in 1994 by USAID programs, has gained substantial momentum, and is turning into a viable and sustainable sector.

Possible Adjustments to Plans: Two upcoming activities may cause adjustments in our SME activities. An evaluation of USAID's SME support strategy will provide recommendations for modifying our SME program. USAID will also conduct a survey to gather crucial statistical data concerning the SME sector in Russia, which will enable us to better design SME support.

Other Donor Programs: As the leader in the SME sector, USAID is a key donor in the combined G-7 donor effort to support SMEs through the European Bank for Reconstruction and Development (EBRD). Technical assistance from the European Union complemented USAID private enterprise development programs through the Small and Medium Enterprise Development Agency initiative. The USAID-funded U.S.-Russian Investment Fund and the EBRD also finance programs to provide SME loans through commercial banks. Partly supported by the Mission, the Organization for Economic Cooperation and Development (OECD) engages the Russian Government on SME policy through high-level policy dialogue.

Major Contractors and Grantees: Major grantees and contractors include: Opportunity International and FINCA for microenterprise loans; Citizen's Democracy Corps and ACDI/VOCA for the business volunteer program; the Academy of Management and the Market for the Morozov Centers; Carana Corporation for investment promotion; and Research Triangle Institute for budgeting.

Data Tables

SO 1.3 Accelerated Development and Growth of Private Enterprises

OBJECTIVE: SO1.3 Accelerated Development and Growth of Private Enterprise OBJECTIVE ID: 118-013-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: SO 1.3 Accelerated Development and Growth of Private Enterprises			
INDICATOR: Small and Medium Size Businesses Flourish Over Time			
UNIT OF MEASURE: Number of Firms	YEAR	PLANNED	ACTUAL
	1992 (B)		560,000
	1993	900,000	865,000
SOURCE: USAID/Russia, Internet Statistics	1994	900,000	896,900
	1995	900,000	896,900
	1996	900,000	877,300
INDICATOR/DESCRIPTION: Gross number of registered SMEs in Russia as of December 31	1997	900,000	828,000
	1998	900,000	862,685
	1999	900,000	868,000
	2000	900,000	
COMMENTS: 1992-1996 actual numbers are taken from "Small Business in Russia", Business Thesaurus Series (reference books for Russian business), Moscow: CONSECO, 1998, table 1.9; 1997 actual number is taken from Russian SME Resource Center Publications, For the Annual Report of State Committee for Support and Development of SMEs: Part 1 (1997-1998). Numbers show steady positive growth.	2001	900,000	
	2002	900,000	
	2003	900,000	

OBJECTIVE: SO 1.3 Accelerated Development and Growth of Private Enterprises			
OBJECTIVE ID: 118-013-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 1.3.2 Successful Models of Private Ownership and Modern Management Widely Replicated			
INDICATOR: Number of Jobs Created/Sustained			
UNIT OF MEASURE: Created/sustained jobs	YEAR	PLANNED	ACTUAL
	1997 (B)		0
	1998	10,000	80,622
SOURCE: USAID/Russia, BDI/MMT Target Trackers and Quarterly Reports	1999	10,000	106,202
	2000	20,000	
	2001	30,000	
	2002	40,000	
INDICATOR/DESCRIPTION: Number of jobs created and sustained during the reporting period	2003		
COMMENTS: These numbers reflect only job statistics from SO1.3 contractors*. Jobs created by other SO contractors are not included. Increased figure reflects better tracking of programs and the addition of two agricultural sector programs.			

* CCI/RISE, JAR, OI, UAA, Morozov, URSBF, Counterpart, FINCA, ACDI/VOCA, CDC/EED, IRIS, MAC, PRARI, Eurasia Foundation

OBJECTIVE: SO1.3 Accelerated Development and Growth of Private Enterprise OBJECTIVE ID: 118-013-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.3.2.1 Workable Models for New and Restructured Firms to Complete in a Market Economy are Created			
INDICATOR: Modern Management Practices are adopted by private sector firms			
UNIT OF MEASURE: Amount of external financing and/or investment obtained by client forms of USAID Business Support Institutions (BSIs)	YEAR	PLANNED	ACTUAL
	1995 (B)		\$8
	1996	\$10	\$10
SOURCE: USAID/Moscow, BDI/BD and BDI/MMT Quarterly Reports	1997	\$15	\$20
	1998	\$20	\$29.2
	1999	\$40	\$36.9*
INDICATOR/DESCRIPTION: Cumulative dollar amount of external financing and equity financing obtained by client firms of USAID financed Business Support Institutions (US \$millions)	2000	\$50	
	2001	\$75	
	2002	\$100	
COMMENTS: Planned targets for the years 2001 and 2002 were adjusted to reflect current USAID funding trends.			

*Cumulative for year 1999 for OI, Morozov, UAA, ACDI/VOCA, CDC/EED, MAC, PRARI, Eurasia Foundation yielded \$7.7 million. (see file BDI external financing for year 1999.xls). This number was added to previous cumulative amount.

OBJECTIVE: SO 1.3 Accelerated Development and Growth of Private Enterprises OBJECTIVE ID: 118-013-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.3.4 Successful Models of Private Ownership and Modern Management Widely Replicated			
INDICATOR: Number of loans made by USAID supported microenterprise organizations			
UNIT OF MEASURE: Microenterprise loans made by assisted organizations, cumulative	YEAR	PLANNED	ACTUAL
	1999 (B)		7,098 5,007 (women) 2,091 (men)
	2000	10,000	
	2001	15,000	
SOURCE: Final and Quarterly Reports from contractors and grantees	2002	20,000	
	2003	25,000	
INDICATOR/DESCRIPTION: Cumulative number of loans made			
COMMENTS: These proposed indicator will track the success of our program in reaching small and micro entrepreneurs			

* CCI/RISE, OI, Morozov, Counterpart, FINCA, SUNY/AARW

Strategic Objective 1.4: Improved Economic Infrastructure to Support Market-Oriented Growth (118-014-01)

Self-Assessment: Overall performance is on track.

Summary: This objective directly supports Embassy/Moscow's goal of Open Markets and the U.S. national interest of economic prosperity, as defined in the U.S. Embassy's Mission Performance Plan for 1999. The activities under this objective promote broad-based economic growth in Russia and encourage Russia's progress toward the development of a legal and regulatory infrastructure for private sector growth. Positive progress will provide opportunities for local and international business, including U.S. business, thereby strengthening economic prosperity both in Russian and in the United States. A necessary step to achieve such economic prosperity is to improve Russian economic infrastructure.

The Mission's customers under this objective include Russian Government agencies, Russian banks, Russian think tank institutions, Russian entrepreneurs, and foreign and domestic investors. Customers also include the Russian public, which benefits from a stronger economy.

Key Results: Progress among IRs varies, as does the validity of the indicators used last year. The four IRs for this year are: 1) IR 1.4.1.3: objective criteria and system developed for transfer of resources from center to regions; 2) IR 1.4.2: legal and regulatory framework for financial sector established and strengthened; 3) IR 1.4.3: international accounting standards (IAS) properly match revenues and expenses to improve existing operations and make financial reporting transparent for banking sector supervision; 4) IR 1.4.4: economic think tanks' analytical and policy advice capabilities strengthened to support sound policy formulation.

Two IRs have changed since last year, IR 1.4.3 and IR 1.4.2. Although interest in IAS adoption continues, the old indicator for IR 1.4.3, measuring the number of books printed, did not realistically portray the commitment by Russian officials and business to its application. However, the Central Bank of Russia is using USAID assistance to prepare to convert to the use of IAS throughout the banking sector by the end of 2001. The new IR measures use of IAS by individual banks based on requirements of the Central Bank

The old IR 1.4.2, counting the number of bank licenses revoked, is not closely associated with restoration of confidence by Russians to the banking sector because banks continue to operate without licenses. The new IR, annual percentage change in personal deposits, better measures increase in consumer confidence by the proportionate increase in domestic deposits since 1998. More generally in this area, the benefit of the long-term presence of the Financial Services Volunteer Corps, providing USAID technical assistance to the banking system, was recognized in an external evaluation in February 2000.

Although IR 1.4.4 did not change from last year, we note that this IR is difficult to quantify because the indicator of dissemination of economic policy research papers is only one aspect of the introduction of economic analysis to political debates. Nevertheless, papers, conferences, and consultations occurred at an unprecedented level in 1999, and policy makers appear more accepting of sound analytic advice.

Performance and Prospects: Congressional restrictions on assistance provided directly to the Russian federal government limits current USAID activities in this area, which reduces our efforts to deepen intergovernmental fiscal reform, expand restructuring of the banking sector, and increase IAS adoption. This situation means that our leadership role under this strategic objective is weakened, but our wide activity range ensures that we remain a key, if not the key, player in strengthening economic infrastructure in Russia.

Despite the Congressional restrictions, this strategic objective demonstrates substantial promise for achievement over the medium-term through FY 2002 and over the long-term as shown by performance under last year's targets. For IR 1.4.1.3 which concerns intergovernmental finance reform, expectations were greatly exceeded. Although the Federal Government was slow to implement a broad range of reforms, several legislative initiatives were passed which bode favorably for future assistance in intergovernmental fiscal relations. The State Duma and the Federal Council passed a revised Part 1 of the Tax Code and enacted the year 2000 budget into law. The law incorporated the transfer formula based on gross revenue potential as a measure of tax capacity and needs as proposed, to a large extent, by USAID. Also of note, the Ministry of Finance held a session of the Intergovernmental Fiscal Reform Working Group to review formal allocation techniques prepared with USAID assistance. As a result, four regions asked to be added to the five (Leningrad, Novgorod, Tomsk, Vladimir, Rostov) which are receiving assistance and using the intergovernmental revenue transfer formula. USAID-funded expertise in this area will further the transparency and objectivity of transfers from the Federal to regional levels of government by applying analytic criteria to allocation and utility of funds transfers to oblasts and municipalities.

Other accomplishments under fiscal reform during this past year are equally encouraging. Access to Duma fiscal deliberations was heightened by the request from an influential member of the Duma for a resident tax advisor. Members of our fiscal team will be able to provide timely advice during formulation of Duma fiscal legislative initiatives. Also, all USAID efforts in tax policy were well received by the State Duma and Ministries of Finance and Taxation. Advice on improvements to the general part of the tax code and Enterprise Profits Tax and amendments to the excise tax were incorporated into legislative acts. USAID technical assistance also resulted in a law by Novgorod Duma to implement real property taxation, including valuation methodology for property assessment. USAID is responding to these substantial opportunities, confirmed by a recent external evaluation, by funding a three-year fiscal reform contract on intergovernmental transfers and creation of a fiscal policy center staffed by Russian experts.

IR 1.4.4 concerning economic policy organizations exceeded expectations, which directly reflected interest by Duma and Government officials in policy guidance provided by our partners. They achieved impressive results through preparation and dissemination of 27 economic policy papers, and funding of conferences that enabled researchers and analysts to discuss key topics such as tax and budgetary reform, banking crisis, land ownership, economic factors of electoral behavior capital markets, and corporate governance with federal and regional policy makers. In the future under IR 1.4.4, the Mission will continue with the preparation of economic policy papers and conferences through two more years of work with the Institute for Economic Transition and continuation of the three-year agreement with the Moscow Public

Science Foundation. The Foundation received about 300 small grant applications to sponsor timely and appropriate economic analyses in legal and regulatory reform, enterprise restructuring, competition, regulation of natural monopolies, corruption and shadow economies as well as to enable the emergence of policy think tanks in various underserved regions.

As measured by last year's indicator, IR 1.4.3 regarding IAS did not meet planned targets. However, the new IR 1.4.3 shows promise, given the Central Bank of Russia commitment to IAS. The effort to create appropriate regulatory language for IAS adoption is perceived by the Central Bank to be collaborative, ensuring access by the USAID advisor in residence at the Bank during the formative process. More generally in this area, in FY 1999 USAID trained 3,670 Russians in the use of IAS. The American Chamber of Commerce and the International Center for Accounting Reform continue to advocate adoption of IAS by the Russian Government and businesses. In addition, in Samara and Novgorod, USAID is training local accountants in IAS and assisting local companies to prepare financial statements based on IAS. Because IAS is a transparent financial reporting system based on globally accepted accounting procedures, companies that prepare financial statements in IAS will be more successful in attracting foreign investment.

IR 1.4.2 on the establishment of a legal and regulatory framework for the financial sectors did not meet expectations under last year's indicator. However, the new indicator demonstrates substantial promise. In 1999, there was a 17 percent increase in personal deposits. Not only does this indicate an emerging confidence, but also an increase in bank liquidity, thus enabling more lending to businesses and consumers. The Mission is funding a three-year effort focused on commercial banking, financial markets policy and regulatory structures and Central Bank of Russia regional banking supervision.

Possible Adjustment to Plans: The upcoming request for proposals for fiscal reform with an emphasis on intergovernmental revenue transfers and creation of a Russian fiscal policy center is a logical extension of earlier successes that were described in prior sections.

Other Donor Programs: The World Bank, International Monetary Fund (IMF), and other bilateral donors as well as the U.S. Treasury collaborate in the financial sector in Russia. USAID is a member of the Inter-Agency Coordinating Committee for Banking Reform comprised of Russian institutions and donor institutions. Ongoing collaboration between USAID, the World Bank, the IMF, the U.S. Treasury and other donors in bank restructuring will be particularly important as USAID decides whether to increase activity in the banking sector. USAID works closely with the International Center for Accounting Reform and donors such as the European Union and the British Know How Fund in its IAS project.

Major Contractors And Grantees: USAID's major contractors and grantees include: Financial Services Volunteer Corps for banking; Georgia State University for tax reform; and the Institute for Economic Transition and the Moscow Public Science Foundation for economic policy organizations.

Data Tables

SO 1.4 Improved Economic Infrastructure to Support Market-Oriented Growth

OBJECTIVE: SO 1.4 Improved Economic Infrastructure to Support Market-Oriented Growth OBJECTIVE ID: 118-014-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.4.1.3 Objective Criteria and System Developed for Transfer of Resources from Center to Regions			
INDICATOR: Transparent Criteria for Distribution of Federal Funds to Regions by Formula			
UNIT OF MEASURE: Formula changed: yes/no SOURCE: Georgia State University	YEAR	PLANNED	ACTUAL
	1995 (B)		Formula exists, but not a good one
INDICATOR/DESCRIPTION: Federal funds to support the regions formula in place and operational	1996	Formula changed	No
	1997	Formula changed	No
COMMENTS: The year 2000 Federal budget contained more accurate tax capacity measures as well as expenditure needs coefficients.	1998	Formula changed	Yes
	1999	Formula changed	Yes
	2000	Formula changed	
	2001	Formula changed	
	2002	TBD	
	2003	TBD	

OBJECTIVE: SO 1.4 Improved Economic Infrastructure to Support Market-Oriented Growth OBJECTIVE ID: 118-014-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.4.2 Legal and Regulatory Framework for the Financial Sector Established and Strengthened			
INDICATOR: Annual percentage change in personal deposits in Russian banks			
UNIT OF MEASURE: Percentage change	YEAR	PLANNED	ACTUAL
	1998 (B)	0	0
SOURCE: Central Bank of Russia	1999	10%	17%
	2000	20%	
INDICATOR/DESCRIPTION: Percentage change in ruble and dollar denominated deposits of individuals in dollar terms. Personal deposits include demand and time deposits by resident and non-resident individuals, and funds on self-employed individuals	2001	30%	
	2002	40%	
	2003	TBD	
COMMENTS: All numbers are as of December of previous year.			

OBJECTIVE: SO 1.4 Improved Economic Infrastructure to Support Market-Oriented Growth			
OBJECTIVE ID: 118-014-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 1.4.3 International Accounting Standards Will Properly Match Revenues and Expenses to Improve Existing Operations and Will Make Financial Reporting Transparent For Banking Sector Supervision			
INDICATOR: International Accounting Standards adopted by banks			
UNIT OF MEASURE: Number of banks adopt IAS as required by the Central Bank of Russia	YEAR	PLANNED	ACTUAL
	1999 (?)	0	
SOURCE: Central Bank of Russia	2000	2	
INDICATOR/DESCRIPTION: International Accounting Standards used by banks for reporting to the Central Bank	2001	100	
	2002	500	
	2003	1,000	
COMMENTS:			

OBJECTIVE: SO 1.4 Improved Economic Infrastructure to Support Market-Oriented Growth			
OBJECTIVE ID: 118-014-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 1.4.4 Economic Think Tanks' Analytical and Policy Advice Capabilities Strengthened to Support Sound Policy Formulation			
INDICATOR: Wider dissemination of policy advice and publications			
UNIT OF MEASURE: Number of publications presented to government officials	YEAR	PLANNED	ACTUAL
	1998 (B)	1	1
	1999	5	27
SOURCE: Gaidar Institute and Moscow Public Science Foundation	2000	100	
	2001	150	
	2002	200	
INDICATOR/DESCRIPTION: Improved efficiency of results dissemination	2003	250	
COMMENTS: USAID currently has one cooperative agreement with the Gaidar Institute and the Moscow Science Foundation for support of policy advice and publications.			

Strategic Objective 1.6: Increased Environmental Management Capacity to Support Sustainable Economic Growth (118-016-01)

Self-Assessment: Performance under this strategic objective is exceeding expectations.

Summary: This strategic objective directly supports Embassy/Moscow's goal of Environment and the U.S. national interest of global issues, as defined in Embassy/Moscow's Mission Performance Plan for 1999. Specifically, the activities under this strategic objective promote environmental and natural resource protection, which is a key global issue.

USAID began work on this strategic objective in Russia in 1992. At that time, the concept of environmental management and sustainable development was not well understood in Russia by non-governmental organizations, the general public, and policy-makers. Severe pollution and environmental mismanagement resulted. To ameliorate the effects of this situation, this strategic objective introduces sustainable environmental management practices to private and public entities, including environmental managers, policy-makers, private industry, and non-governmental organizations, throughout Russia. Results include reductions in pollution level, prevention of forest fires, and generation of extra-budgetary revenues for protected reserves.

Our customers include Russian private and public sector organizations, regional governments, local businesses, schools, libraries, and hospitals. Other customers are Russian citizens who benefit from a better-maintained natural resource base. In particular, the Russian Far East benefits from the forestry initiatives under this strategic objective.

Key Results: Three key intermediate results (IRs) help improve environmental management practices: 1) IR 1.6.1: increased capacity to deal with environmental pollution as a threat to public health; 2) IR 1.6.2: improved management of natural resources and biodiversity protection; and 3) IR 1.6.3: improved economic mechanisms for natural resources management and environmental protection.

An external evaluation of the Mission's Replication of Lessons Learned (ROLL) project in fall 1999 supported this objective's performance assessment. The evaluation noted that USAID's environment activities have strengthened and expanded the network of Russian environmental non-governmental organizations. The report also noted that USAID's Russian grant recipients designed projects responsive to local needs. This evaluation further highlighted our instrumental role in building institutional capacity in grantees, which is a Mission priority.

Performance and Prospects: Outstanding performance is expected under this strategic objective through FY 2002.

USAID greatly exceeded its planned targets for the three IRs. Overall, improved environmental management practices were replicated in 80 percent of Russia's oblasts under IRs 1.6.1, 1.6.2, and 1.6.3. This includes: 45 percent of oblasts implementing environmental management activities; 44 percent of oblasts implementing natural resources activities; and 210 eco-business organizations developed and strengthened (note: more than one activity may be implemented in the same oblast).

There are many examples of successful implementation for all three key IRs. Under the ROLL Project, which contributes to all three IRs, Russians are broadly replicating environmental management activities and adopting local initiatives at the national level. In the past year, ROLL awarded 87 grants, for a total of 191. While results of the individual grant activities are significant, the cumulative effect of these successful replication activities is more important. For example, in 1999 with ROLL assistance for forestry: the Federal Government regionally tested and approved new fire prevention techniques for broader application; regional legislation was developed in the country's major forested regions; and regionally piloted artificial reforestation methods are being replicated in the Russian Far East and Siberia and are supported by the Russian Federal Forest Service for national application. In the area of environmental health, ROLL supported introduction of methods to monitor and reduce lead in children's blood this past year. Based on these activities, the Ministry of Health developed and adopted a new Lead Monitoring and Prevention Strategy. A new environmental health risk assessment methodology was tested in over 25 cities in Russia and resulted in prevention of deaths from environmental pollution. The Ministry of Health and the State Committee of Environmental Protection issued a decree requiring this methodology in all environmental and epidemiological surveys. Over 600 medical and environmental professionals have been trained in its use throughout Russia this year and a new curricula has been developed and introduced in Russia's top medical universities.

Non-ROLL activities also have strongly contributed to IR achievement. In the forestry sector, USAID continues to be the pioneer in sustainable forestry management. In the past year, USAID increased assistance for forest fire prevention and management as a result of the devastating forest fires in the Russian Far East. In close coordination with the U.S. Forest Service and the World Wildlife Fund, USAID supplied 437 two-way radios and antennas to the Khabarovsk Forest Service for early detection of fires. USAID assistance also spurred significant progress in introducing new techniques, such as prescribed burns to reduce fuel loads. The Russian Federal Forest Service recently approved this new technique, which was formerly prohibited.

Also in the forestry sector during this past year, USAID work continued on preservation of the non-timber and forest resources of the Russian Far East. USAID provided technical assistance and grants to over 200 small businesses to develop business and marketing plans, improve product labeling and packaging, and purchase modest amounts of equipment to introduce new product lines or improve production. As a result, these businesses increased profits, thus generating employment in the region. For example, one small tea and honey company in the Russian Far East has increased its full time staff from three to 60 employees, with up to 300 staff during harvest time. These activities have resulted in the introduction of environmentally sustainable business practices as well benefits for disadvantaged groups including indigenous peoples, the elderly, and an association for the blind.

USAID continues to focus on eco-tourism activities aimed at generating much needed revenues to better protect Russia's nature reserves and endangered species, such as the Siberian Tiger. In the Russian Far East, at least ten nature reserves are now implementing low-impact eco-tourism activities that have helped them triple their operational budgets during this past year. In cooperation with the World Wildlife Fund, USAID recently initiated a small grants program and

provided funding (grants averaging \$4,000) to 26 organizations to strengthen the protected areas network and preserve biodiversity in the Russian Far East eco-region.

Several constraints affect progress under this strategic objective. Most importantly, Russian Government funding for environmental programs is very limited. Environment and forestry loans through the World Bank have been either cancelled or significantly delayed. In addition, the State Committee for Environmental Protection continues to weaken as its status in the government remains low, staff salaries have been reduced, and many highly qualified professionals have left.

In the future, USAID will continue to support Russian-to-Russian partnerships to promote environmental protection under ROLL and other activities. USAID will address climate change issues through activities to preserve and/or expand Russia's globally important carbon sink and protect its endangered biodiversity, such as fire prevention, forest policy, and reforestation. USAID's Global Climate Change activities are fully described in the annexes.

Possible Adjustments to Plans: Performance targets for the key results presented in the indicator tables will be revised in 2001 as the Mission initiates two new, comprehensive programs, ROLL 2000 and the new FOREST Project which includes forestry, environmental training, and small grants in the Russian Far East.

Other Donor Programs: USAID actively coordinates with other donor governments, non-governmental organizations and international financial institutions, particularly the World Bank. Of note was USAID-World Bank cooperation in the development of its forestry sector loan. The design for the loan was significantly revised and delayed in 1999 as a result of Russia's continuing economic difficulties. However, USAID has continued to work closely the World Bank and coordinated with the U.S. Forest Service to co-sponsor a U.S. study tour for Russian forestry experts. USAID also contributes to a multi-donor effort with European Governments and Japan to phase-out the production of ozone depleting substances in the Russian Federation.

Major Contractors and Grantees: Key contractors and grantees include: Institute for Sustainable Communities for the ROLL Project and eco-business grants; World Wildlife Fund for eco-tourism and forestry; Institute for International Education for environmental partnerships; Pacific Rim Taiga for eco-business; and the U.S. Forest Service for forestry management.

Data Tables

SO 1.6 Increased Environmental Management Capacity to Support Sustainable Economic Growth

OBJECTIVE: SO 1.6 Increased Environmental Management Capacity to Support Sustainable Economic Growth OBJECTIVE ID: 118-016-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.6.1 Increased Capacity to Deal With Environmental Pollution as a Threat to Public Health			
INDICATOR: New approaches/ techniques/ technologies/actions to prevent and reduce industrial pollution are introduced and implemented throughout the Russian Federation			
UNIT OF MEASURE: Percent of oblasts	YEAR	PLANNED	ACTUAL
	1992 (?)		0
SOURCE: Project Officer	1996	4	4
	1997	10	33
INDICATOR/DESCRIPTION: Percent of oblasts (cumulative) using new approaches/ techniques/ technologies/actions	1998	20	35
	1999	40	45
	2000	45	
COMMENTS: 1992 is baseline	2001	50	
	2002	60	
	2003	70	

OBJECTIVE: SO 1.6 Increased Environmental Management Capacity to Support Sustainable Economic Growth OBJECTIVE ID: 118-016-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 1.6.2 Improved Management of Natural Resources and Biodiversity Protection			
INDICATOR: New approaches/actions to improve management of natural resources and protect biodiversity are implemented throughout the Russian Federation			
UNIT OF MEASURE: Percent of oblasts	YEAR	PLANNED	ACTUAL
	1993 (?)		Value unknown
SOURCE: Project Officer	1996	5	7
	1997	8	15
INDICATOR/DESCRIPTION: Percent of oblasts implementing new approaches/ actions	1998	10	34
	1999	40	44
	2000	45	
COMMENTS: Baseline is 1993.	2001	50	
	2002	55	
	2003	60	

OBJECTIVE: SO 1.6 Increased Environmental Management Capacity to Support Sustainable Economic Growth			
OBJECTIVE ID: 118-016-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 1.6.3 Improved Economic Mechanisms for Natural Resources Management and Environmental Protection			
INDICATOR: Eco-business organizations developed and strengthened			
UNIT OF MEASURE: Number of organizations	YEAR	PLANNED	ACTUAL
	1992 (?)		0
	1996	20	26
SOURCE: Project Officer	1997	15	18
	INDICATOR/DESCRIPTION: Eco-business organizations implementing environmentally friendly activities	1998	5
1999		25	210
2000		30	
COMMENTS: Baseline is 1992		2001	35
	2002	40	
	2003	50	

Strategic Objective 2.1: Increased Better-Informed Citizen's Participation in Political and Economic Decision Making (118-021-01)

Self Assessment: All activities are either on track or exceeding expectations.

SO Summary: This objective directly supports Embassy/Moscow's goal of Democracy and the U.S. national interest of national security, as defined in the U.S. Embassy's Mission Performance Plan for 1999. Specifically, the activities under this objective support participatory civil society, which contributes towards Russia's democratic transition.

Activities in this strategic objective focus on increasing citizen participation in political and economic decision making. To do so, the mission continues its support in three critical areas: free and fair elections, independent media, and non-governmental organizations (NGOs). Programs that support electoral institutions and processes increase Russian citizens' belief in the democratic process and ensure that the administration of elections is free and fair. Media programs increase the professionalism and financial sustainability of independent media. Strengthening NGOs allows civil society to function more effectively. Improvements in each of these sectors will increase participation of Russian citizens in all facets of their society.

Customers include NGOs, public officials, independent television and radio stations, independent print media, and political parties. Other customers include virtually all Russians who will benefit from stronger mechanisms for substantive participation in civil society.

Key Results: Key intermediate results (IRs) are: 1) IR 2.1.1: free and fair elections administered nationally and locally; 2) IR 2.1.2.2: more programming produced and broadcast by independent stations in the regions; and 3) IR 2.3.3: NGO sector provides an alternative to ballot box for participating in economic and political decision making. Solid progress on all three indicators contributed to achievement of the strategic objective. Of particular note, the third IR has been achieved beyond the 2002 target so a new NGO indicator will be established. Also, current indicators will be refocused to better reflect results in selected USAID target regions, rather than Russia as a whole.

The Mission will incorporate recommendations from the February 2000 evaluation of the Mission's 24 partnership programs under this strategic objective to improve results by identifying partnerships with greatest impact that are most likely to be sustainable.

Performance and Prospects: Prospects for continued results achievement through FY 2002 will critically depend upon political stability in Russia as well as continued U.S. government financial support for these efforts. Progress so far is positive, meeting or exceeding all targets. Specifically, in the area of free and fair elections under IR 2.1.1, international monitors declared the December 1999 Duma elections free of systematic fraud and vote manipulation. During the election, the six parties that won seats in the Duma received 81 percent of the vote. In the last race in 1995, almost half of the votes cast were for parties who did not clear the five percent barrier and were unable to enter the Duma. Therefore, Russia's Duma today is more

representative of the people's will. We will continue to assess the freeness and fairness of Russian elections.

To support these free and fair elections, USAID grantees bolstered domestic election observation efforts. Amendments in the summer of 1999 to the Voting Rights Law restricted direct assistance to political parties during the Duma and presidential campaign period. Hence, USAID focused on poll watchers by training over 1,000 political party election observers. This training increased the level of trust in the legitimacy, fairness and openness of elections. In addition, a USAID grantee facilitated the creation of a Coalition of Civic Organizations in Defense of Voters' Rights. This coalition has national representation and focused on informing voters and training domestic election monitors for the presidential elections. The coalition also has post-electoral plans to conduct civic education programs and defend voters' rights. Finally, USAID grantees trained over 500 regional media professionals from more than 40 oblasts in international professional ethical practices for balanced media coverage of the elections. Even after the Presidential election, USAID will continue to boost civic participation in the democratic process.

Additionally in the electoral area, USAID intensified its institutional support development of the Institute for Electoral Systems Development (IESD), which is a Russian NGO. By July 2000, IESD is expected to strengthen free and fair electoral processes in Russia without USAID funding. Also, USAID made significant progress in the institutional development of the Moscow School of Political Studies (MSPS) which trains young regional legislators and leaders in the principles of a democratic society. MSPS now has a multi-year strategic plan and is no longer living seminar to seminar.

The media sector witnessed significant achievements during 1999, as captured by IR 2.1.2.2. The share of viewers in Russia's regions watching private television stations, thereby gaining exposure to a variety of viewpoints not generally available on State television, jumped from zero in early 1991 to 25 percent by 1997 and 42 percent by 1999, exceeding anticipated targets. Special USAID post-crisis assistance helped non-state media entities recover from sharp drops in advertising revenues while creating several breakthrough initiatives. Television stations with modern computerized newsroom operations jumped from 3 in early 1999 to over 100. In the medium-term, USAID will focus more heavily on ensuring that Internews/Russia and the National Press Institute, both local organizations, are able to directly deliver media assistance without channeling funds through U.S. grantees.

Despite strong media achievements, 1999 also witnessed the aggravation of several disturbing trends that profoundly threaten the future of Russia's still embryonic free press. State authorities at all levels as well as powerful oligarchs significantly expanded their influence over the media through increased controls, subsidies and ownership. This accelerated a damaging tendency to replace professional journalism with partisan coverage, mudslinging and public relations.

In NGO strengthening under IR 2.1.3, USAID continued to provide alternatives for participating in economic and political decision-making. Since 1992, USAID has supported the Russian NGO sector. Currently, USAID provides support to 5,000 NGOs in over two-thirds of Russia's territory through 48 Russian NGO resource centers in 37 regions. Increased interaction between

NGOs and local government occurred throughout Russia as a result of Mission programs. Activists from USAID-assisted NGOs spoke at public hearings or provided expert commentaries on legislative or policy issues at least 181 times in 1999. As a specific example, in 1999 an NGO resource center in Stavropol conducted research on issues of concern for young people and the local administration agreed to incorporate the findings into its youth policy. In the future, we will continue working with grassroots NGOs in the regions through NGO resource centers.

Another important initiative for USAID's NGO program in 1999 was assistance to women's crisis centers. Small grants averaging \$5,000 each enabled crisis centers to add more hot lines for calls from victims of domestic violence, improve their services, and increase their hours of operation. The Association of Crisis Centers was officially formed in the fall 1999, strengthening the movement of activists working in the area of domestic violence. Future efforts will continue to focus on grant-making while adding training for the Center's staff.

Progress also exceeded expectations under the Mission's partnership project. Twenty-four U.S.-Russian partnerships implemented effective projects throughout Russia. Targeted sectors for the partnership grants were slightly modified to reflect recent changes in Mission priorities aimed at the support of social sector reform. Focus shifted toward programs that benefit such sectors as domestic violence, youth social services, and social safety network programs. One significant result was the partnership between Perspectiva, All-Russia Society of the Disabled, and the World Institute on Disability. Forty-six disabled youth activists, three times as many as planned, and numerous volunteers in seven Russian cities implemented an active disabled youth program. The activists conducted disability awareness workshops for 10,451 school children from 76 schools. Another partnership between Human Soul House and Fountain House strengthened the Russian network of clubhouses serving the mentally ill.

Possible Adjustment to Plans: USAID will conduct an assessment of its political process programs to plan follow-on activities.

Other Donor Programs: USAID is the sole provider of election systems development assistance. USAID coordinated closely with other donors and the Organization for Security and Cooperation in Europe in preparation for the Duma and Presidential elections. USAID also coordinated closely with several donors on funding for the MSPS. A media donor's forum coordinates programs to assist the independent media, particularly the nearly \$30 million combined effort to help the media recover from the economic crisis. An NGO donors forum meets quarterly and exchanges information through an active list serv. Other donors in the NGO sector include the European Union, Canadian Cooperation Program, the Mott Foundation, the MacArthur Foundation, the Ford Foundation, and Soros Foundation.

Major Contractors and Grantees: Major contractors and grantees include: World Learning, American Center for International Labor Solidarity, and the International Research and Exchanges Board for NGO support; the International Republican Institute, the National Democratic Institute and the International Foundation for Electoral Systems for political processes; Internews for media; and the Eurasia Foundation for grants to Russian organizations.

Data Tables

SO 2.1 Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making

OBJECTIVE: SO 2.1 Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making OBJECTIVE ID: 118-021-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 2.1.1 Free and Fair Elections Administered Nationally and Locally			
INDICATOR: Participation in national and local elections is certified free and fair by observers			
UNIT OF MEASURE: Yes/no	YEAR	PLANNED	ACTUAL
	1995 (B)		0
SOURCE: International Foundation for Electoral Systems	1999	yes	yes
	2000	yes	
INDICATOR/DESCRIPTION: International observers certify elections to be generally free of systemic fraud and vote manipulation	2001	yes	
	2002	yes	
	2003	TBD	
COMMENTS: Baseline is 1995.			

OBJECTIVE: SO 2.1 Increased, Better Informed Citizens' Participation in Political and Economic Decision Making OBJECTIVE ID: 118-021-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 2.1.2.2 More programming produced and broadcast by independent stations in the regions			
INDICATOR: Regional independent TV stations are the primary source of local news for viewers			
UNIT OF MEASURE: Percentage of viewership watching non-state regional TV	YEAR	PLANNED	ACTUAL
	1991 (B)		0
	1996	12%	12%
SOURCE: Averaged among major media ratings services, including Mediamar; Nezavisimiye Media Izmereniya, December 1998, published by Agenstvo Issledovany Sotsiuma I Teleradioveschaniya	1997	15%	25%
	1998	35%	40%
	1999	40%	42%
	2000	45%	
	2001	50%	
INDICATOR/DESCRIPTION: Averaged regional rating of non-state broadcasters (without NTV) in principal regional TV markets. If the national private network NTV is included, non-state TV ratings share increases by approximately 20%.			
COMMENTS: Targets ("Planned")			
	2002	50%	
	2003	TBD	

OBJECTIVE: SO 2.1 Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making OBJECTIVE ID: 118-021-01 APPROVED: 5/99 COUNTRY/ORGANIZATION: USAID/Russia			
RESULT NAME: IR 2.1.3 NGO Sector Provides Alternative to Ballot Box for Participating in Economic and Political Decision Making			
INDICATOR: Increase in interaction between NGOs and local government			
UNIT OF MEASURE: Number of cities	YEAR	PLANNED	ACTUAL
	1994 (B)		0
SOURCE: Reports from implementers	1996	5	6
	1997	10	18
INDICATOR/DESCRIPTION: Cities in target regions have mechanisms for NGO interaction with local governments in use	1998	20	22
	1999	25	48
	2000	35	
	2001	40	
COMMENTS: USAID/Russia has achieved the target of having mechanisms for government-NGO interaction in all target cities. Next year, a new indicator will be proposed.	2002	50	
	2003	TBD	

Strategic Objective 2.2: Strengthened Rule of Law and Respect for Human Rights (118-022-01)

Self -Assessment: Performance under this strategic objective is on track.

Summary: This objective directly supports Embassy/Moscow's goal of Democracy and the U.S. national interest of national security, as defined in the Embassy's Mission Performance Plan for 1999. Specifically, the activities under this objective help strengthen democratic institutions and values in Russia.

USAID has funded rule-of-law work since 1993. Since 1987, Russia has progressed towards democracy, and the Russian Government has shown a commitment to rule-of-law and respect for human rights. However, many impediments to rule-of-law exist, which include: the lack of economic resources; the absence of strong government mechanisms for enforcement of the law; widespread corruption; and the relative weakness of the judiciary vis-a-vis other branches of government. To address this situation, USAID's program focuses on improving the implementation and enforcement of laws through strengthening the judiciary and Bailiffs Service, improving the competence and availability of legal counsel, and establishing an effective system of monitoring of violations of human rights. USAID also supports pilot projects to promote NGO work with local government to address corruption issues.

Our customers under this strategic objective include judges, bailiffs, and human rights activists. The entire Russian population and foreign investors will benefit from strengthening rule of law.

Key Results: Significant progress has been made towards the achievement of the key results. These key results are: 1) IR 2.2.2: judicial decisions are uniform, predictable and made without delay; 2) IR 2.2.1.2: Judicial Department functions as intended by legislation; 3) IR 2.2.4: presence of enforcement service induces better execution of civil judgments; and 4) IR 2.2.5: effective advocacy for adherence to international human rights commitments increased.

The wording for IR 2.2.4 was slightly modified this year because no statistics are available for the old indicator on the overall number of judgements both voluntarily complied with and enforced by bailiffs. The new indicator is the percentage of the overall value of the judgements executed by the Service.

Performance and Prospects: Current performance is meeting all targets. Performance through 2002 is expected to continue on track. Specifically, under IR 2.2.2, an annual survey of commercial lawyers that participated in continuing legal education (CLE) seminars in 1999 illustrated that judicial decisions are becoming more uniform, predictable and timely. The overall score given by the lawyers participating in the survey to measure the effectiveness of the Commercial Courts increased by approximately 20 percent in 1999. The trend described by the target should continue as judicial reform remains a key issue for the donors and the investment community.

USAID was part of the overall process in Russia to promote judicial reform in 1999. USAID assistance focussed on two court systems, the Commercial Courts and the Courts of General Jurisdiction. We funded activities for both courts to: strengthen their capacity to train judges in Russian law; develop reference material; and improve information technology. Complementing this effort, over 1,300 judges and court administrators in both court systems participated in programs on improving judicial understanding of law, court administration, and continuing judicial education during the past 1.5 years. USAID also increased awareness of judicial ethics among key judges in both court systems during last year, and developed models and best practices for judicial ethics, selection and evaluation of judges, and judicial discipline. One upcoming activity is assistance to the new Academy of Justice, which will provide professional training to judges in both court systems, on general curriculum development, training material design, and training of staff in modern pedagogical techniques.

IR 2.2.1.2 illustrates that the Judicial Department is growing stronger and more independent. This performance should be repeated in coming years. Established in 1998, the Judicial Department of the Russian Supreme Court administers the Courts of General Jurisdiction and issues the judiciary's budget request. The Judicial Department played a critical role in securing an increased level of financing for the courts in the 2000 budget. In this overall area, USAID activities during 1999 included support for the design of a court automation master plan and a planned manual for court administrators from the Judicial Department. USAID also funded the first nationwide conference on judicial administration which brought together approximately 300 court administrators from the Judicial Department and key judges from the Courts of General Jurisdiction as well as representatives from the Administrative Office of the U.S. Courts and the U.S. Judicial Conference. In the future, the U.S. Federal Judiciary will continue to play a crucial role in the development of an independent judiciary in Russia.

IR 2.2.4 displays a substantive increase, exceeding the target, in the percentage of the overall value of the Bailiffs Service caseload that was executed. USAID continued to assist the Russian Bailiffs Service by developing materials for and providing training to Russian bailiffs. Six seminars for bailiffs were held in six regions on topics such as tracing of assets, complaints against bailiffs, and enforcement procedure expenses. A U.S. study tour, which included six key representatives from the Bailiffs' Service, focused on improving financial investigations, including investigative methods, record-keeping, and privacy issues. In addition, a comprehensive procedural manual covering enforcement of judgements for the Bailiffs Service was published in early 2000. During the next reporting period, increased focus will be placed on strengthening the capacity of the Bailiffs Service for training Bailiffs without external assistance.

Complementing our work with court systems and bailiffs, USAID fostered clinical legal education programs, practice-based teaching methods, and CLE for commercial lawyers by helping create nine legal clinics to date. In May 1999, a CLE conference brought together over 120 clinical legal educators from across the country. USAID also continued to sponsor a CLE program on commercial law topics in Moscow and workshops on commercial law and law firm management for young legal professionals in at least eight Russian cities. Both the lectures and workshops rely almost exclusively on Russian expert lawyers. Over the long-term, USAID will continue to work on institutionalizing the offering of CLE courses by a Russian entity.

Of special note, USAID reached out to over 2,000 Russians through a women's outreach program with a series of seminars across the Russian Federation on legal issues affecting women. Participants included prosecutors, judges, police and lawyers. In addition, seminars and roundtables for NGOs, lawyers, and activists, focused on finding legal solutions for domestic violence and combating trafficking of Russian women. These activities are coordinated with the Mission's domestic violence work under Strategic Objective 2.1.

In the area of human rights expressed by IR 2.2.5, USAID contributed to increasing the number of human rights NGOs professionally monitoring and documenting human rights violations. Thirty more regions, for a total of 60 regions, now have NGOs monitoring and contributing to Moscow Helsinki Group's human rights report. Reports on the human rights situation in 30 regions of the Russian Federation, as well as a country-wide report, were completed and published in both Russian and English in September 1999. This report is used by Russian human rights NGOs to work with the Government to improve the human rights situation. The human rights NGO network should expand further this year to cover all of Russia's 89 regions, which would result in increased support for adherence to international human rights commitments.

Additionally, as civil society has grown in Russia, the number of organizations interested in human rights has increased. Unfortunately, there has been a lack of coordination between these human rights groups. In 1999, USAID continued its efforts to address this issue, providing technical assistance and institutional development support to the Sakharov Center. The "Common Cause" group, consisting of the directors of numerous Russian human rights and other NGOs, now meets at the Center monthly to discuss the current human rights situation, coordinate activities, and hold press-conferences. As a result of USAID's focus on the institutional development of the Sakharov Center, the Center is now more sustainable.

Possible adjustments to plans: Additional work in the anti-corruption involving corporate governance and the legal and regulatory framework for business and investment is planned.

Other donor programs: Overall, USAID's rule-of-law work is conducted in close coordination with other U.S. Government agencies, which support criminal law reform and improved law enforcement. USAID continued its cooperation with other donors, including quarterly meetings on rule-of-law in Russia. Clinical Legal Education is gaining interest with donors, such as the Ford Foundation, Open Society Institute, and others. The British Know-How Fund continued its program to support the Judicial Department and the newly created Judicial Academy. The U.S. Government, through USAID and the U.S. Department of Justice (DOJ), was the most active donor working with the Russian judiciary in 1999. The DOJ conducts programs on criminal law, corruption and law enforcement issues for Russian prosecutors, various law enforcement officials, and some judges.

Major Contractors and Grantees: They include: the National Judicial College/Chemonics in judicial reform; Institutional Reform in the Informal Sector for judgement enforcement; Moscow-Helsinki Group and the Sakharov Center for human rights.

OBJECTIVE: Strengthened Rule of Law and Respect for Human Rights			
OBJECTIVE ID: 118-022-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR2.2.2 Judicial Decisions Are Uniform, Predictable and Made Without Delay			
INDICATOR: Survey results on uniformity, predictability and fairness of commercial court decisions			
UNIT OF MEASURE: Uniformity, predictability and fairness of commercial court decisions	YEAR	PLANNED	ACTUAL
	1998 (B)	2.3	2.4
SOURCE: ABA/ CEEL1 annual survey	1999	2.4	3.0
INDICATOR/DESCRIPTION: Results of survey are shown on a 1-4 scale, with 4 representing excellent and 1 poor performance	2000	2.4	
	2001	2.6	
COMMENTS: ABA/CEELI conducted the evaluation for the first time in late 1998. The survey of 1999 was conducted on a bigger scale than in 1998. The evaluation of 1999 is based on evaluations given by over two hundred lawyers in several Russian cities. Although a very limited number of lawyers participated in this survey, it is still the most reliable source of information for USAID on the functioning of the commercial courts. No other sources available			

OBJECTIVE: Strengthened Rule of Law and Respect for Human Rights			
OBJECTIVE ID: 118-022-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 2.2.1.2 Judicial Department Functions As Intended By Legislation			
INDICATOR: Judicial department formulates the annual budget of the courts of general jurisdiction			
UNIT OF MEASURE: Yes/No	YEAR	PLANNED	ACTUAL
SOURCE: Judicial department	1997 (B)	No	No
INDICATOR/DESCRIPTION:	1998	No	No
COMMENTS:	1999	Yes	Yes
	2000	Yes	
	2001	Yes	

OBJECTIVE: Strengthened Rule of Law and Respect for Human Rights			
OBJECTIVE ID: 118-022-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 2.2.4 Presence of Enforcement Service Induces Better Execution of Civil Judgments			
INDICATOR: Percentage of overall value of Bailiffs Service civil judgments caseload that is executed			
UNIT OF MEASURE: Overall value of Bailiffs Service civil judgements caseload (percent)	YEAR	PLANNED	ACTUAL
	1997 (B)	30%	30%
	1998	40%	54%
	1999	50%	60%
SOURCE: Official statistics of the Ministry of Justice	2000	60%	
	2001	70%	
INDICATOR/DESCRIPTION:			
COMMENTS: Last year's indicator "Percentage of civil judgements fully executed" has been changed this year to "Percentage of overall value of Bailiffs Service civil judgements caseload that is executed" in order to better measure the effectiveness of the Bailiffs Service.			

OBJECTIVE: Strengthened Rule of Law and Respect for Human Rights			
OBJECTIVE ID: 118-022-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 2.2.5 Effective Advocacy for Adherence to International Human Rights Commitments Increased			
INDICATOR: Number of regions with human rights monitors trained increases			
UNIT OF MEASURE: Number of regions with human rights monitors trained and active in monitoring and reporting on human rights violations	YEAR	PLANNED	ACTUAL
	1998 (B)	30	30
	1999	60	60
SOURCE: Moscow Helsinki Group	2000	70	
	2001	80	
INDICATOR/DESCRIPTION: Only independent (non-government) monitors are considered	2002	80	
COMMENTS: Once the human rights monitoring network is functioning and monitors are trained and become more active and effective, the number of human rights violations reported may increase.			

SO 3.2 Improved Effectiveness of Selected Social Benefits and Services (118-032-01)

Self Assessment: Strategic Objective 3.2 is on track.

Summary: This strategic objective supports Embassy/Moscow's goals of Health and Population and the U.S. national interest in Global Issues, as defined in Embassy/Moscow's Mission Performance Plan for 1999. Regarding the latter, the activities under this objective strengthen both population and health benefits and services, thereby helping decrease the spread of disease within Russia and across international borders.

Ten percent of the Russian population was determined to be poor in 1991. By 1995 almost one out of every three persons in Russia was poor. As health and living conditions deteriorate, Russians may resist the demands imposed by economic and political transition, thus slowing reform. Hence, USAID/Russia seeks to improve selected social benefits and services through focused improvements in the health and urban development sectors in key regions.

In these sectors, USAID pursues three major results necessary to achieve the strategic objective. Under IR 3.2.1, "new approaches to service delivery adopted," programs on women and infant health, quality assurance, and community-based primary health care partnerships seek to establish innovative, cost-effective, and evidence-based quality service delivery, including an increased use of community-based approaches to health care and individuals' lifestyle improvements. IR 3.2.2, "improved responses to infectious disease," captures the outcomes of activities in tuberculosis (TB) prevention and control, and HIV/AIDS/STI prevention. USAID also works more broadly toward IR 3.2.3, "improved cost recovery/equity in social service delivery." Lessons learned from historical programs in housing reform, breakthroughs in means-testing of subsidies, and municipal finance reforms all contribute to activities which seek to increase the ability of local Russian governments to direct limited resources to the truly needy.

Our customers are Russians who deserve better quality health services, women of reproductive age who seek better outcomes for their pregnancies, newborns deserving of a healthy start, young people who need information and services to develop healthy lifestyles, tuberculosis patients whose cure can safeguard themselves and their communities, and poor families in Russia closed out of present benefit systems. Non-governmental organizations (NGOs), social service and health professionals, and local decision-makers serving these customers also benefit from training and technical assistance that help them work better.

Key Results: While results have been positive during the past year, the current set of indicators does not adequately capture all activities. Our increased emphasis on infectious diseases and new emphases on maternal and infant health, primary health care partnerships, orphans, and small cities have not figured in past indicators. Also, the scope of various intermediate results is not captured by the present system of indicators. Hence, new indicators will be proposed before submission of the next R4. However, for purposes of consistency with last year's R4, the narrative under "Performance and Prospects" will only address the same three indicators as last year, which do not entirely encompass the three primary intermediate results described above. These indicators are: 1) SO 3.2 (1) : decrease in abortion rates greater than national average; 2)

IR 3.2.1: family planning clinics promoting modern methods of contraception are operational; and 3) SO 3.2 (2): Expansion of quality social safety net programs outside housing sector.

Performance and Prospects: Overall performance is expected to meet or exceed targets through FY 2002. More specifically, under SO 3.2 (1) regarding abortion rates, early 1999 saw the completion of the highly successful Women's Reproductive Health Project (WRHP), which increased access to modern family planning services and information in 14 oblasts. Preliminary findings from the post-intervention survey of 6,000 women show that the difference in abortion levels between project and control sites grew over time, with rates falling in the former and remaining relatively constant in the latter. Nevertheless, comparisons between pilot and national rates have not been as impressive as they were prior to the August 1998 economic crisis. A WRHP survey revealed that more than half of women who underwent abortion during this period cited the crisis as a cause.

The indicators for IR 3.2.1 may be changed next year as they only capture one impact of the Mission's new Women and Infant Health (WIN) Strategy. This impact is the number of family planning clinics offering family planning counseling and choice of contraceptives. The target of 48 was fully met in 1999. However, despite such encouraging progress, maternal and infant mortality rates in Russia continue to range from two to ten times higher than in other industrialized countries. USAID launched the WIN strategy in 1999 in Novgorod and Perm to reduce maternal and infant morbidity and mortality by improving the effectiveness of women and infant health services, including family planning and reproductive health. The creation of Executive and Technical Advisory Groups will help ensure the institutionalization and sustainability of the new guidelines and protocols to be developed under WIN. A facility-based survey will provide insights on the knowledge, attitudes, and practices of service providers to shape training interventions and assess program impact.

Other health activities in tuberculosis (TB) and HIV/AIDS, not captured in the two health indicators above, form an important part of the USAID portfolio. This year USAID launched the U.S. Government 1999-2002 TB Strategy for Russia. The strategy is being implemented by the U.S. Centers for Disease Control and Prevention (CDC), the World Health Organization (WHO), and the International Federation of the Red Cross (IFRC) in Orel and Ivanovo with planned expansion into Vladimir. Survey research on the reasons for non-compliance with treatment are informing work in both sites, and training, laboratory and pharmaceutical needs have been identified. USAID's HIV/AIDS Prevention strategy made significant progress during the past year. Two partnerships established between three U.S. NGOs and four Russian organizations developed and distributed educational materials and adapted peer education approaches. A rock concert targeting youth commemorated World AIDS Day on December 1, drawing 3,000 young people to hear hot Russian rock bands provide safe sex and anti-drug messages between sets. Live footage aired nationally, reaching an estimated 40 million young Russians.

As the principal bilateral donor in the area of infectious disease, USAID is also developing models in TB and HIV/AIDS to be used in the design of an upcoming World Bank loan, estimated at \$150 million. The loan has taken over a year longer than originally expected, thus

limiting USAID ability to leverage our assistance in the near future. A March 2000 assessment of USAID's HIV/AIDS prevention activities will inform the strategy for the period 2001-2003.

Also of note, USAID's new Assistance to Russian Orphans (ARO) activity, initiated last year in Novgorod, Samara, and the Russia Far East, gives grants to NGOs to provide community-based services that will support families with respite services, physical therapy programs, and other approaches to encourage them to keep their children, including disabled children, at home. Education to reduce abandonment of infants also will be provided to maternity staff.

Moving beyond health, USAID refined SO 3.2 (2)'s indicator to reflect the broader set of options available to regions trying to improve social service delivery regarding social safety net programs. The baseline value of zero is for 1999. An activity to Improve Social Services Delivery Systems (ISSDS) launched in November 1999 received regional government support and cooperation in four pilot sites (Arzamas, Tomsk, Novgorod and Perm). ISSDS will 1) provide local governments with organizational and financial management skills; 2) advance the adoption of legal and administrative reform in social service delivery; 3) promote public-private participation; and, 4) enable local officials to introduce better targeted social programs.

Legislative restrictions continue to effect program implementation. Funding constraints in the FY 2000 budget have visibly slowed work in several programs, precluded making needed additions to programs (e.g., HIV/AIDS, WIN and TB). Funding constraints have also delayed the development of a small cities initiative focused on the large percentage of the Russian population (at least 40 percent) living in areas where investment potential and present local revenues range from very low to nil.

Possible Adjustment to Plans: Lower annual budgets will continue to slow activity, while the Presidential elections in March 2000 may change the political landscape. Also of concern is the slow pace of development of the World Bank loan for HIV/AIDS and TB.

Other Donor Programs: Women and infant health, quality assurance activities, and primary health care partnerships have been linked with other Mission activities such as domestic violence. Monthly participation in WHO Health Meetings promotes donor coordination. The Open Society Institute's (OSI) funding has assisted the WIN and HIV/AIDS strategies. UNAIDS provided support for the World AIDS Day Concert, as did Medecins Sans Frontiers. U.S. Government agencies under the Binational Commission contribute further to this Objective. On the urban side, on-going linkages between USAID and the World Bank, OSI, and regional Russian associations continue in the areas of social sector transition, local finance and government, and small cities. Other donors, including UNICEF and the World Bank, acknowledge USAID's leadership in addressing Russian orphans.

Major Contractors and Grantees: USAID's major contractors and grantees include: the American International Health Alliance for partnerships; WHO and CDC on TB; Population Services International on HIV/AIDS; Holt International Children's Services and Mercy Corps International for ARO; and the Institute for Urban Economics and the Urban Institute on social subsidies.

Data Tables

SO 3.2 Improved Effectiveness of Selected Social Benefits and Services (118-032-01)

OBJECTIVE: SO 3.2 Improved Effectiveness of Selected Social Benefits and Services			
OBJECTIVE ID: 118-032-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: SO 3.2 Improved Effectiveness of Selected Social Benefits and Services			
INDICATOR: Decrease in abortion rates greater than the national average in selected regions			
UNIT OF MEASURE: Women of reproductive age (ages 15- 49)	YEAR	PLANNED	ACTUAL
	1996 (B)		4% project decrease vs. 5% national decrease
SOURCE: Ministry of Health statistics	1997	9% project decrease (2% more than nationally)	11% project decrease vs. 7% national decrease
INDICATOR/DESCRIPTION: Number of abortions per 1000 women of reproductive age	1998	9% project decrease (2% more than national trend of 7% annual decrease)	3% project decrease (range from 9.9% to 3.6% decrease with one project site showing increase of 11%) vs. 6.7% national decrease
COMMENTS: National figures for 1999 not yet available. The one site that showed an increase displayed a dramatic 19.6% decrease in the previous year. There is anecdotal evidence that abortions increased in the last quarter of 1998, following the economic crisis of August.	1999	5% project decrease	TBD (data available June 2000)
	2000	5% project decrease	
	2001	5% project decrease	
	2002	5% project decrease	
	2003	5% project decrease	

OBJECTIVE: SO 3.2 Improved Effectiveness of Selected Social Benefits and Services			
OBJECTIVE ID: 118-032-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: IR 3.2.1 New Approaches to Service Delivery Adopted			
INDICATOR: Family Planning Clinics promoting modern methods of contraception are operational			
UNIT OF MEASURE: Family planning clinics	YEAR	PLANNED	ACTUAL
	1995 (B)		0
	1996	4	28
SOURCE: Cooperating Agencies	1997	30	36
	1998	48	46
INDICATOR/DESCRIPTION: Number of family planning clinics offering family planning counseling and choice of contraceptives	1999	48	48
	2000	51	
	2001	51	
COMMENTS: Under the new Women and Infants' health strategy, additional family planning clinics may be included, but the concentration on fewer sites will reduce overall expansion.	2002	51	
	2003	TBD	

OBJECTIVE: SO 3.2 Improved Effectiveness of Selected Social Benefits and Services			
OBJECTIVE ID: 118-032-01			
APPROVED: 5/99		COUNTRY/ORGANIZATION: USAID/Russia	
RESULT NAME: SO 3.2 Improved Effectiveness of Selected Social Benefits and Services			
INDICATOR: Expansion of quality social safety net programs throughout Russia outside of the housing sector			
UNIT OF MEASURE: Number of communities	YEAR	PLANNED	ACTUAL
	1999 (B)		0
	2000	6	
SOURCE: Institute for Urban Economics reports	2001	15	
	2002	30	
INDICATOR/DESCRIPTION: Number of communities served as a result of expansion of new methods (such as means testing, etc.) in social safety net programs	2003	40	
COMMENTS:			

Strategic Objective 4.1: Special Initiatives (118-041-01)

Self -Assessment: Strategic Objective 4.1 is on track.

Summary: The U.S.-Russian Investment Fund (TUSRIF) is the only activity under this strategic objective. This activity is not managed by USAID/Russia. However, this activity directly supports Embassy/Moscow's goal of Broad-Based Growth and the U.S. national interests of economic prosperity and national security, as defined in the U.S. Embassy's Mission Performance Plan for 1999. Specifically, the activities under this objective promote Russian economic recovery and strengthen U.S.-Russian commercial relations. As a result, Russian stability should increase, helping to secure U.S. national security and economic prosperity.

Key Results: As approved by AID/W in spring 1999, the Mission has not developed an indicator for the Fund.

Performance and Prospects: The Fund works to promote a market economy in Russia by using USAID resources to establish, restructure, and strengthen private Russian firms. In this effort, the Fund cooperates with other institutional and strategic investors. In more detail, since 1995 the Fund has invested \$30 million in 30 companies. These companies are involved in consumer goods, telecommunications, media, pharmaceutical distribution, health care, and forestry. The Fund also offers long-term loan financing to small business and is now disbursing \$2.5 million monthly in loans to small businesses in 16 regions in Russia. A complementary micro-business loan program provides funding to businesses requiring \$1,000 to \$20,000 in financing. Additionally, the Fund has a Bank Partner program in which staff at 20 banks are trained in credit methodology and underwriting

The Fund is now attempting to reposition itself in the Russian market by shifting the focus of its investments from traditional consumer products and services, food processing, and retailing to the financial sector. To do so, the Fund is now involved in leasing, auto loans, and residential mortgages. The Fund has set up the first Russian mortgage program in three sites. A car loan program will enable entrepreneurs and small businesses to acquire cars. In July 1999, the Fund established a leasing company which expanded to four sites several months later. Over 40 companies have already used this service. While some aspects of this new strategy are promising, it must be noted that the development and growth of institutions in the financial sector are highly complex investments to monitor.

Trade finance is also a new area for the Fund. At the end of September 1999, the Fund had selected a bank partner for its trade financing program which would enable a U.S. company to sell goods to a Russian company without sufficient loan guarantees.

The Fund recently created a management company, Delta Capital, and plans to market itself under this title. In cooperation with this new company, the Fund may start a private venture capital fund in the future. The new private fund would provide financing to a wide range of businesses in Russia and also provide a basis for the final phase out of U.S. Government funding in the future.

Possible Adjustments to Plans: None planned at this time.

Other Donor Programs: The Fund works with other international donors and other private equity and venture capital funds. The Fund also works with private corporations in a parallel or partnership fashion to maximize its effectiveness in any given investment area. Co-investors already in the portfolio include recognized fortune 500 U.S. firms, as well as locally established partners. The Fund works effectively with and through approximately 30 local banking institutions to disseminate the Fund's financial sector products.

Major Contractors and Grantees: TUSRIF

Strategic Objective 4.2: Cross-Cutting Initiatives (118-042-01)

Self-Assessment: An overall assessment for this strategic objective is not possible due to the wide array of activities of limited duration and moderate financing under its umbrella.

Summary: Mission activities under this strategic objective support other Mission strategic objectives. These activities include program and project evaluations, staff salaries, the Mission's financial analysis unit, and participant training. These activities also include a new round of the Russia longitudinal survey to analyze social and economic changes.

Most notably, participant training contributes to the overall successful implementation of other USAID-funded activities through implementing short-term training programs in the United States and throughout Russia. This training equips Russian leaders and professionals with skills needed to guide the transition to a free market economy and democratic governance.

Key Results: Activities under Strategic Objective 4.2 are cross-cutting. Hence, no indicators are required.

Performance and Prospects: Accomplishments under the participant training activity are exceeding expectations.

Participant training covers all sectors of USAID assistance to Russia and complements activities implemented by various USAID contractors. Each training course is directly linked to one of the Mission's strategic objectives. Training programs offered to Russian professionals during the past year ranged from environment management, health education, domestic violence, and family planning to media, fair elections, rule of law, NGO development, banking and finance and small business development.

The direct beneficiaries of participant training are Russian public and private sector leaders and professionals. Since 1997, the inception of this activity, 1,897 Russian professionals participated in 93 short-term training courses. About 50 percent of the participants were women. In 1999, the overall number of participants trained was 460, of which at least 50 percent were women.

One example of a successful training is the program that provided 13 Russian news directors from independent regional television stations with the opportunity to receive extensive training in the United States on production and dissemination of objective information through local news programs. Upon their return to Russia, the news directors started to organize journalism workshops in their news departments for their colleagues. As a result, the training program reached more Russians than just the 13 who directly participated in the program.

Possible Adjustments to Plans: Budget cuts severely affected participant training, as indicated in the Resource Request. Hence, training has been scaled back significantly.

Other Donors: USAID worked with other donors (Canada, Great Britain, France, Japan) on the implementation of the Presidential Management Training Initiative (PMTI). Two hundred PMTI

alumni, who represented a broad spectrum of mid-level managers from the business sector, participated in the in-country workshops.

Major Contractors and Grantees: Participant training is implemented by the Academy for Educational Development.

III. Resource Request

During the budget review by the State Department's Coordinator for Assistance to the New Independent States and Europe and Eurasia Bureau Management in January 2000, budget figures for FY 2000 were finalized. Budget figures over the medium-term were not addressed. However, the Mission's "Country Strategy 1999-2003" indicates that proportional shares of the budget allocated to key activity areas should remain constant until 2003. These areas encompass the strategic objectives below.

Strategic Objective 1.3 continues support for small business as a critical foundation for economic growth. Successful activity implementation and strong local demand for business financing means that this strategic objective will remain a centerpiece of our portfolio and receive substantive funding through at least 2002. However, due to budget cuts, the Mission halted plans to expand micro-credit programs except as part of the Regional Initiative in Tomsk.

Strategic Objective 1.4's emphasis on strengthening economic infrastructure meets a key need in Russia to create an attractive investment environment through establishing a transparent legal and regulatory framework. Overall, performance in most areas of the strategic objective has been as expected and funding levels are expected to remain stable or increase in line with the total Mission budget. The Mission had planned to work more broadly on fiscal reform, but budget cuts means that the Mission will instead only support a follow-on grant to our successful program in intergovernmental fiscal relations. Also, our new start in banking reform was cut by 50 percent, thus decreasing the number of reform-minded banks supported by the Mission.

Strategic Objective 1.6 addresses the need for better environmental management. This year's new environmental program consists of the new FOREST project, which includes forestry, environmental training, and small grants in the Russian Far East. Funding cuts reduced the amount for the FOREST start in terms of geographic coverage and number of activities. We also are continuing our ROLL program to provide funding to Russians to replicate successful environmental projects. Excellent results mandate for continuing and increased funding.

Strategic Objective 2.1 strengthens democracy by promoting citizen participation in political and economic decision-making. Emergency assistance to independent media due to the economic crisis is ending, but the importance of this area for the Mission has not diminished. Mission support to NGOs as key elements in democracy-building continues through our NGO project. Due to budget cuts, however, the Mission deferred NGO follow-on programs until mid-FY 2001. As a result, a gap in the issuance of sub-grants to Russian entities will occur. Although also not funded with this year's money because of budget cuts, the Mission's successful partnership program continues with previous-year funding. Overall, the importance of this strategic objective leads us to try to maintain funding levels as much as possible even in tight budget scenarios.

Strategic Objective 2.2 strengthens rule of law in Russia to increase investor confidence. To do so, the Mission continues its anti-corruption efforts through supporting enforcement of judgments and the development of an anti-corruption activity. The Mission also remains engaged in legal and judicial reform and supports human rights. Encouraging performance in

these areas over the past few years and the absolute necessity of improving rule of law in Russia is reflected in continued funding for this Strategic Objective.

Strategic Objective 3.2 ensures local level support for Russia's political and economic transition. High profile activities such as infectious diseases, including HIV/AIDS and TB prevention, women and infant health, and orphan support continue. Health community partnerships and fast and effective energy efficiency programs also are important in our social service program. Solid results in these areas as well as Congressional earmarks ensures high funding levels.

Strategic Objectives 4.1 and 4.2 cover a wide range of activities. The only activity under SO 4.1 is the Russian-American Investment Fund, which is not managed by the Mission. Strategic Objective 4.2 consists of short-term projects including project evaluations, data collection and surveys, participant training, and the Eurasia Foundation. Participant training suffered from budget cuts in FY 2000, thus reducing the number of Russians sent to the United States.

The strategic objectives above require adequate operating expenses and staffing to ensure effective use of the program budget. In this connection, the tables for operating expenses and staffing requirements reflect minimum needs to implement the activities presented in this R4.

A significant number of Mission activities have pipelines that are less than 12 months or greater than 24 months as of September 1999. Several activities have pipelines of less than 12 months. They will receive funding through extensions this year. They include: Business Support Institutional Network Strengthening; Institutional Strengthening under the Gaidar Foundation; International Accounting Standards; Financial Monetary System; Political Processes; Electoral Law Support; Broadcast Media; Labor Unions; NGO Sector; Judicial Support; Legal Reform; Sakharov Center; National Press Institute; Human Rights; Health Quality Assurance Treatment; and Training for Development.

Other activities that have less than 12 months of funding will receive incremental funding. They are: Business Practices; Training for Managers; Business Education; Land and Real Estate Market/CA; Energy Efficiency in Samara; the Alaska-Sakhalin Working Group; Institutional Strengthening under the Moscow Public Science Foundation; and Assistance to Russian Orphans.

The final group of activities that have less than 12 months of funding remaining will finish this year. In some cases, also, activities are ending, but upcoming competitions for similar activities will soon occur. These activities include: Business Outreach Program, Microcredit in Khabarovsk, Tech-Based Business Development in Samara, the ABC Samara activity, Saratov Eurasia Fund, Agribusiness Connections, Institutional Support for Housing, Housing Mortgage Lending, Real Estate Reform, Real Estate Housing Development, Land and Real Estate Market in Samara; REPAIS; Tax Reform; Targeted Grants Program; Eco-Business; Replication of Lessons Learned Project; Women's Consortium; and Eurasia NGO Grants.

Mission activities that have more than 24 months of funding were fully funded as of September 1999. These activities include Microcredit in Novgorod and Voronezh, and Partnerships under the SPAN program.

A number of unique events in FY 2000 caused variances of plus or minus five percent in some object classes of the Mission's R4 budget for FY 2001 and FY 2002. These events included funding of costs related to the Y2K evacuation, an increase to the Local Compensation Plan, changes in the Agency's policy on forward funding, and joining the Embassy's housing pool. In addition to these one-time events, reasons for variances of plus or minus five percent are due to normal changes in staff rotations (for object class 22), decreased staff travel (for object class 21), and anticipated replacement of equipment and supplies (for object classes 26 and 31).

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IV. Supplemental Information Annexes

A. Environmental Impact

As currently planned, the Mission will conduct an Initial Environmental Examination (IEE) of its new FOREST Project under Strategic Objective 1.6. If necessary, a full environmental assessment may be completed.

All current activities should be in compliance with their corresponding IEEs and Environmental Assessments. The Mission's new environmental officer will ensure that this compliance is current.

Mission staff will receive detailed training on 22 CFR 216 from the Europe and Eurasia Bureau Environmental Officer during FY 00.

B. Results Framework

SO 1.3 Accelerated development and growth of private enterprises

- IR 1.3.1 Policies, legislation and regulations conducive to broad based competition and private sector growth adopted
- IR 1.3.2 Successful models of private ownership and modern management widely replicated
- IR 1.3.3 Sustainable network of business support institutions rendering services to entrepreneurs and enterprises
- IR 1.3.4 Successful models of private ownership and modern management widely replicated (same result statement as IR 1.3.s, but indicator is different)

SO 1.4 Improved economic infrastructure to support market-oriented growth

- IR 1.4.1 Tax system fair and efficient
- IR 1.4.2 Legal and regulatory framework for the financial sector established and strengthened
- IR 1.4.3 International accounting standards will properly match revenues and expenses to improve existing operations and will make financial reporting transparent to domestic and international investors
- R 1.4.4 Economic think tanks' analytical and policy advice capabilities strengthened to support sound policy formulation

SO 1.6 Increased environmental management capacity to support sustainable economic growth

- IR 1.6.1 Increased capacity to deal with environmental pollution
- IR 1.6.2 Improved management of natural resources and biodiversity protection
- IR 1.6.3 Improved economic mechanisms for natural resources management and environmental protection

SO 2.1 Increased, better informed citizens' participation in political and economic decision-making

- IR 2.1.1 Free and fair elections administered nationally and locally
- IR 2.1.2 Increased public access to information which is needed for informed political and economic choices
- IR 2.1.3 NGO sector provides alternative to ballot box for participating in economic and political decision making

SO 2.2 Strengthened rule of law and respect for human rights

- IR 2.2.1 Independent Russian judiciary
- IR 2.2.2 Judicial decisions are uniform, predictable, applied equally and made without delay
- IR 2.2.3 Competent counsel available in Russia
- IR 2.2.4 Presence of enforcement service induces better execution of civil judgments
- IR 2.2.5 Effective advocacy for adherence to international human rights commitments increased

SO 3.2 Improved effectiveness of selected social benefits and services

IR 3.2.1 New approaches to service delivery adopted

IR 3.2.2 Improved responses to infectious disease

IR 3.2.3 Improved cost recovery/equity in social service delivery

SO 4.1 Special initiatives

SO 4.2 Cross-cutting initiatives

C. Global Climate Change Narrative

Reducing The Negative Impacts Of Global Climate Change in FY 99

In response to USAID's overall commitments in the area of global climate change, USAID/Russia implements a comprehensive climate change program to preserve and expand Russia's globally important carbon sink. This program builds upon our successful natural resources and biodiversity program implemented in the Russian Far East since 1993. In the forestry sector, programs focus on forest fire prevention, pest control, reforestation, and forestry policy. In protected areas management, the primary focus is on protecting and expanding Russia's nature reserves through the introduction of innovative financing mechanisms, including environmental education and eco-tourism programs. Finally, to support the sustainable use of non-timber and timber products, USAID implements an eco-business program, which generates employment in the region, while also improving the sustainable use of harvested natural resources.

Major accomplishments during the past year include the following:

- USAID's comprehensive reforestation program in Khabarovsk Krai is now being used as the model for artificial reforestation in several regions in the Russian Far East. The original greenhouse complexes produced 2.5 million seedlings in 1999, compared to the 6,500 produced before the program was initiated. The seedlings are of crucial importance to replant vast areas, which were destroyed, and until now, could not be reforested with valuable coniferous species. In 1999, this successful program was replicated in three other Far Eastern regions and resulted in the production of an additional 750,000 seedlings.
- With USAID support, the regional forestry service and government administration in Khabarovsk Krai drafted and held public review of the country's first regional forestry code. The code was officially approved by the Krai Duma and implementing legislation is under development. Implementing regulations are now being developed. During the past year, regional forestry codes have been developed for two additional regions, including Amurskaya Oblast and Krasnoyarski Krai in Siberia. These regional forest codes clarify the division of authorities and responsibilities between the Federation and the Krai in terms of ownership, oversight, use and management of forest resources. This process has strong support of the Federal Forest Service, which has encouraged other regions to develop specific regional legislation.
- USAID continues to be the pioneer in terms of promoting sustainable forestry management. As a result of devastating forest fires that occurred in Khabarovsk Krai in 1998 and 1999, USAID/Russia received additional funds at the end of FY 99 to purchase critically needed fire-fighting equipment to improve fire-fighting capability and to protect globally important forest resources in the Krai. An assessment of equipment needs of fire-fighting units was conducted and resulted in the purchase of 437 two-way radios and antennas for improving early detection of fires. Radio communication will allow rangers and foresters to

immediately relay information regarding fires, thus reducing the need to travel several hours by off-road utility vehicles to report fire outbreaks.

- Through the Replication of Lessons Learned Project, nearly 20 grants were completed by Russian organizations in Siberia and the Russian Far East to replicate successful activities to prevent destruction of the carbon sink. Activities included introduction of pest control programs, development of forest education centers, implementation of experimental prescribed fire burns, construction of greenhouses, development of regional forestry codes, development of local forestry management strategies, adoption of "green accounting" practices, and development of regulations that prevent the conversion of forest land to non-forest use. While results of the individual grant activities are significant, more important is the cumulative effect of these successful replication activities. For example, new fire prevention techniques have been regionally tested and approved by the Federal Government for broader application; regional legislation has been developed in the country's major forested regions; and regionally piloted artificial reforestation methods are being replicated in the Russian Far East and Siberia and are supported by the Russian Federal Forest Service for national application.
- USAID continues to focus on eco-tourism activities aimed at generating much needed revenues to better protect Russia's nature reserves and endangered species, such as the Siberian Tiger. In the Russian Far East, at least ten nature reserves are now implementing low-impact eco-tourism activities that have helped them triple their operational budgets. In cooperation with the World Wildlife Fund, a small grants program was recently initiated and provided funding (grants averaging \$4,000) to 26 organizations to strengthen the protected areas network and preserve biodiversity in the Russian Far East Eco-region.
- During this past year, work also continued on preserving the non-timber and forest resources of the Russian Far East. In coordination with the Pacific Rim Taiga and the Institute for Sustainable Communities, technical assistance and grants were provided to over 200 small businesses to develop business and marketing plans, improve product labeling and packaging, and purchase modest amounts of equipment to introduce new product lines or improve production. As a result, profits have increased, thus generating employment in the region. For example, one small tea and honey company in the Russian Far East has increased its full time staff from three to 60 employees, with up to 300 staff during harvest time. These activities have resulted in the introduction of environmentally sustainable business practices as well benefits for disadvantaged groups including indigenous peoples, the elderly, and an association for the blind.

FY99 Climate Change Reporting Guidance - Data Tables

Please fill in the YELLOW cells to complete the table.

Table 1 - Background Information	
RUSSIA	
GCC Contact 1:	LORI FREER, SO1.6 TEAM LEADER
SO Team (including SO number):	SO 1.6, INCREASED ENVIRONMENTAL MANAGEMENT CAPACITY TO SUPPORT SUSTAINABLE
GCC Contact 2:	YURI KAZAKOV
SO Team (including SO number):	SO1.6
GCC Contact 3:	LYUDMILA VIKHROVA
SO Team (including SO number):	SO 1.6
Contact Information (USG mail)	
Address (1):	
Address (2):	
Street:	
City, Address Codes:	
Telephone number:	
Fax number:	
Email address:	
Other relevant information:	

Please fill in the YELLOW cells to complete the table.

TABLE 2						
Result 1: Increased Participation in the UNFCCC						
Indicator 1: Policy Development Supporting the Framework Convention on Climate Change						
Policy Measure	PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.					
	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CNTN Number for Activity
Ex: Integration of climate change into national strategic, energy, and sustainable development strategies	1	1		Gov't-established interagency group has completed all necessary analysis and preparation to develop NEAP. The government has also signed Annex b of the FCCC.	3.2	CN-23-222
Integration of climate change into national strategic, energy, and sustainable development strategies						
Emissions inventory						
Mitigation analysis						
Vulnerability and adaptation analysis						
National Climate Change Action Plan						
Procedures for receiving, evaluating, and approving joint implementation (JI) proposals						
Procedures for monitoring and verifying greenhouse gas emissions						
Growth baselines for pegging greenhouse gas emissions to economic growth						
Legally binding emission reduction targets and timetables						
Other (describe)						
Other						
Other				NO ACTIVITY IN FY99		
Other						
Other						
Sub-total (number of policy steps achieved):	0	0	0			
TOTAL (number of policy steps achieved):		0				

Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.
Definitions: Types of Activities	
Adaptation	Adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned).
Emissions inventory	Detailed listing of GHG sources and sinks.
Growth Baselines	An approach that would link countries' emissions targets to improvements in energy efficiency.
Joint Implementation (JI)	The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries.
Mitigation	An action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks.
National Climate Change Action Plan	Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

Please fill in the YELLOW cells to complete the table.

TABLE 3					
Result 1: Increased Participation in the UNFCCC					
Indicator 2: Increased capacity to meet requirements of the UNFCCC					
Categories	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Ex: Support for joint implementation activities	1	1	Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities.	2.4	CN-23-222
Monitoring and verifying GHG emissions					
Growth baselines for pegging GHG emissions to economic growth					
Development of emissions reduction targets and timetables					
Support for joint implementation activities					
Other (describe)					
Other					
Other			NO ACTIVITY IN FY99		
Other					
Other					
Total number of points for Training/Technical Assistance:	0	0			

Please fill in the YELLOW cells to complete the table.

TABLE 4												
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector												
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss												
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks												
PLEASE SEE BELOW for CODES and DEFINITIONS necessary to complete this table.	Location			The Site and USAID's Involvement						Additional information you may have (see codes below)	SO Number for Activity	CN/TN Number for Activity
				Principal Activities (see codes below)	Indicator 1	Area where USAID has conserved carbon (hectares)						
	Area where USAID has initiated activities (hectares)	Predominant vegetation type (see codes below)	Indicator 2a			Predominant managed land type (see codes below)	Indicator 2b					
			Natural ecosystems					Managed lands				
USAID Activity Name	Country	Region, Province, or State	Site									
Ex: Tapajos National Forest Project	Brazil	Para	Tapajos National Forest	1	595,000	A	595,000			1, 2, 3, 5	1	CN-23-222
				2	5,000	A		3				
								400				
Justification for including site:				Site of Tapajos project was included on the basis of demonstrated progress in forest conservation and resulting carbon sequestration benefits.								
ECO-BUSINESS PROGRAM	RUSSIA	RUSSIAN FAR EAST	BEKIN REGION	2	2500	E	3				SO1.6	
Justification for including site:				Based on agreement with company and Krai administration to serve as a demonstration area.								
FOREST MANAGEMENT STRATEGY FOR NON- TIMBER PRODUCTS	RUSSIA	RUSSIAN FAR EAST	EVREISKAY A OBLAST	2	3620000	E	3				SO1.6	
Justification for including site:				Provided economic incentives for reducing cutting and protecting the forest.								
3.												
Justification for including site:												
4.												
Justification for including site:												
5.												
Justification for including site:												
6.												

Justification for including site:													
7.													
Justification for including site:													
8.													
Justification for including site:													
9.													
Justification for including site:													
10.													
Justification for including site:													
11.													
Justification for including site:													
12.													
Justification for including site:													
13.													
Justification for including site:													
14.													
Justification for including site:													
15.													
Justification for including site:													
Total area (hectares):				3,622,500		Total area:		6		Total area:		0	
<p>Note: If you need to list more than 15 activities in this table, please create a second copy of this spreadsheet, following the instructions at bottom.</p>													

Codes for Land Use and Forestry Sector Indicators									
Principal Activities:		Predominant Vegetation Type:				Predominant Managed Land Type:		Codes for Additional Information:	
1	Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but <i>not</i> timber harvesting.)	A	Tropical evergreen forest	H	Tropical grassland and pasture	1	Agricultural systems: Less than 15% of the area under trees	1	Maps
2	Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)	B	Tropical seasonal forest	I	Temperate grassland and pasture	2	Agroforestry systems: Greater than 15% of the area under trees	2	Geo-referenced site coord-inates
3	Afforestation/reforestation/plantation forests	C	Temperate evergreen forest	J	Tundra and alpine meadow	3	Plantation Forests: At least 80% of the area under planted trees	3	Biomass inventory
4	Agroforestry	D	Temperate deciduous forest	K	Desert scrub	4	Protected areas	4	Rainfall data
5	Sustainable agriculture	E	Boreal forest	L	Swamp and marsh			5	Soil type data
		F	Temperate woodland	M	Coastal mangrove				
		G	Tropical open forest / woodland	N	Wetlands				

Definitions: Natural Ecosystems	
Natural Ecosystems	Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for “natural areas” (2a) and “managed areas” (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.
Definitions: Managed Lands Categories	
Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH)	<p>A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:</p> <ul style="list-style-type: none"> - tree inventorying, marking and mapping; - careful planning and marking of skidder trails; - vine cutting prior to harvest, where appropriate; - directional felling of trees; - appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal) - proper road and log deck construction; - a trained work force and implementation of proper safety practices; - fire mitigation techniques (fire breaks); - existence of a long-term management plan. <p>Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been “certified” as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).</p>
Agroforestry	<p>Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).</p> <p>Include the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems being established on forestlands that were deforested since 1990.</p>

Reforestation/ Afforestation	The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes. -- Include the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).
Sustainable Agriculture	Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven <ul style="list-style-type: none"> - no-tillage or reduced tillage - erosion control/soil conservation techniques, especially on hillsides - perennial crops in the system - higher crop yields through better nitrogen and soil management - long-term rotations with legumes - the use of organic mulches, crop residues and other organic inputs into the soil - better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals which increase emissions.

Special Instructions: Creating a Copy of this Spreadsheet	
Step 1	Finish filling any cells you are working on and hit " Return " or " Enter ".
Step 2	Then click on " Edit " in the menu bar, above. Go down and click on " Move or Copy Sheet ". The "Move or Copy" dialog box will open. (NOTE: You may also open this dialog box by using the right button on your mouse and clicking on the "T4-2.1 Land Use" tab near the bottom of the screen.)
Step 3	Next, scroll down in the dialog box and click on " T4-2.1 Land Use ".
Step 4	Next, click on the box at bottom to Create a copy .
Step 5	Hit " OK ". A new copy of T4-2.1 Land Use will appear in the row of tabs near the bottom of the screen. PLEASE NOTE: Some cells may not retain all the original ntext when the sheet is copied, especially in the definitions sections.

Please fill in the YELLOW cells to complete the table.

TABLE 5							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.							
Policy Measure	Scope or S) (N	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Ex: Facilitates establishment and conservation of protected areas	N	2	1		Two studies completed on national protected areas law for the Environment Min., including recommendations for legal reform; revised National Protected Areas Law adopted, Min. Decree No. 1999/304.	3.1	TN-556-27
Facilitates improved land use planning	S	X	X		IMPROVED LAND USE PLANNING POLICIES AND REGULATIONS BY PROMOTING THE ADOPTION OF "GREEN ACCOUNTING" PRACTICES FOR DETERMINING THE VALUE OF NATURAL RESOURCES. YAROSLAV, REPLICATED IN TWO OTHER OBLASTS.(ROLL)	SO1.6	
	N	X	X		ABOVE POLICIES AND REGULATIONS ADOPTED AT NATIONAL LEVEL.	SO1.6	
Facilitates sustainable forest management	S	X			AMURSKAYA OBLAST FOREST CODE.	SO1.6	
	S		X		KHABAROVSKI KRAI FOREST CODE	SO1.6	
	S	X			KRASNOYARSKI KRAI FOREST CODE	SO1.6	
	S	X			DEVELOPMENT OF REGULATIONS WHICH PREVENT CONVERSION OF FOREST LAND TO NON-FOREST USE IN SIKOTE ALIN BIODIVERSITY STRATEGY	SO1.6	
Facilitates establishment and conservation of protected areas	S			X		SO1.6	
Improves integrated coastal management							
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management							
Corrects protective trade policies that devalue forest resources							
Clarifies and improves land and resource tenure							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		0	0	0			
		Total (number of policy steps achieved):		0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the YELLOW cells to complete the table.

TABLE 6							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 4: Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Nature Conservation Fund	National Government	Figure reflects direct, in-kind contribution of national government.	\$572,800		3.3	TN-556-27
Ex	Big Forest Climate Change Action Project	The Nature Conservancy and the Friends of Nature Foundation	NGOs initiated independent activity with separate funding, building on earlier USAID conservation project.		\$1,700,000	3.3	CN-23-222
1	ROLL FORESTRY PROGRAM	REGIONAL FORESTRY DEVELOPMENT	ESTIMATED IN-KIND MATCH REQUIRED	\$500,000		1.6	
2	FOREST SECTOR LOAN	WORLD BANK	PUBLISHED PROJECT DOCUMENTS	\$60,000,000		1.6	
3	ECO-REGION PROJECT	NETHERLANDS ASSISTANCE PROGRAM	PUBLISHED PROJECT DOCUMENTS		\$2,500,000	1.6	
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
Total:				\$60,500,000	\$2,500,000		

Definitions: Funding Leveraged	
Direct Leveraged Funding	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments.
Indirect Leveraged Funding	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Please fill in the YELLOW cells to complete the table.

TABLE 6				
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector				
Indicator 5a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGOs, or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Ex: Number of NGOs	4	Friends of Nature Foundation, SITA, Sustainable Forests Unlimited	3.2	CN-23-222
Number of NGOs	10	WILDLIFE FOUNDATION, ISAR/RUSSIA, WWF/RUSSIA, NTFP ASSOCIATION, AND STP ASSOCIATION, FAR EASTERN NTFP		
Number of Private Institutions	150	AMURBIOFARM,PROMOHOTA, LIMONIC, TIMBER CO, FOREST PRODUCTS (TGP PLUS PACIFIC RIM TAIGA ACTIVITIES)		
Number of Research/Educational Institutions	18	PACIFIC INSTITUTE OF GEOGRAPHY, ECONOMIC RESEARCH INSTITUTE, INSTITUTE OF WATER AND ECOLOGICAL PROBLEMS		
Number of Pubic Institutions	14	#####		
Total Number of Institutions Strengthened:	192			

Please fill in the YELLOW cells to complete the table.

Table 8						
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector						
Indicator 5b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities						
Category	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category			SO Number for Activity
	Training	Technical Assistance				
Ex: Advancing sustainable forest management	1	1	Presentation of nursery & reforestation studies; US training on resource mgmt; env'l impact assessment law training; forest restoration & recovery workshop. TA for fire prevention.			3.3
Advancing improved land use planning						
Advancing sustainable forest management	1		ENVIRONMENTAL AUDITING			
Advancing establishment and conservation of protected areas	7		INCREASED CAPACITY OF DIRECTORS TO MANAGE PROTECTED AREAS; INCREASED CAPACITY OF NGOS TO TAKE ACTION TO			
Advancing integrated coastal management						
Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management						
Advancing the correction of protective trade policies that devalue forest resources						
Advancing the clarification and improvement of land and resource tenure						
Other (describe)						
Other						
Other						
Other						
Other						
Number of categories where training and technical assistance has been provided:	8	0				

Please fill in the YELLOW cells to complete the table.

TABLE 9												
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas												
Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)												
PLEASE SEE BELOW for CODES necessary to complete this table.		3.1 A - CO2 Emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)			SO number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTU's produced in thermal combustion	Fuel type replaced (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)		
Activity												
Ex Renewable Energy Production Prog.		512,258		J							2.1	CN-120-97
Ex Steam & Combustion Efficiency Pilot Proj.						1,832,144	J				2.1	CN-120-97
Ex Power Sector Retrofits								912,733		T	2.1	CN-120-97
1												
2												
3												
4												
5												
6												
7												
8												
9 NO ACTIVITY												
10												
11												
12												
13												
14												
15												
Totals:		0	0		0	0		0	0			

PLEASE SEE BELOW for CODES necessary to complete this table.		3.1 D - CO2 emissions avoided as a result of switching to cleaner fossil fuels (including new production capacity)				3.1 E - Methane emissions captured from solid waste, coal mining, or sewage treatment	3.1 F - Tonnes of nitrous oxide emissions avoided through improved agriculture	SO number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTUs produced in thermal combustion	Old fuel type (use codes)	New fuel type (use codes)	Tonnes of methane	Tonnes of nitrous oxide		
Activity									
Ex Clean Fuels Program		4,551		H	FF			2	CN-120-97
Ex Municipal Landfill Proj.						450		2	CN-120-97
Ex Sust. Ag. & Devt. Proj.							575	2	CN-120-97
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
Totals:		0	0			0	0		

Codes for Fuel Type			
Fuel Types		Code	Fuel Name
Liquid Fossil	Primary Fuels	A	Crude oil
		B	Orimulsion
		C	Natural gas liquid
	Secondary Fuels	D	Gasoline
		E	Jet kerosene
		F	Other kerosene
		G	Shale oil
		H	Gas/diesel oil
		J	Residual fuel oil
		K	LPG
		L	Ethane
		M	Naphtha
		N	Bitumen
		O	Lubricants
		P	Petroleum coke
		Q	Refinery feedstocks
		R	Refinery gas
		S	Other oil
Solid Fossil	Primary Fuels	T	Anthracite (coal)
		U	Coking coal
		V	Other bituminous coal
		W	Sub-bituminous coal
		X	Lignite
		Y	Oil shale
		Z	Peat
	Secondary fuels/ products	AA	BKB & patent fuels
		BB	Coke oven/gas coke
		CC	Coke oven gas
Gaseous Fossil		DD	Blast furnace gas
		EE	Natural gas (dry)
		Biomass	
GG	Liquid biomass		
HH	Gas biomass		

Please fill in the YELLOW cells to complete the table.

TABLE 10							
Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas							
Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Policy Measure							
Example: Facilitates improved demand side management or integrated resource planning	N	2	1		Mission supported introduction of two decrees for energy tariff reforms (pursuant to National Energy Reform Law) in the national parliament; one decree was adopted.	2.4	CN-577-92
Facilitates improved demand side management or integrated resource planning							
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers							
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes							
Facilitates the use of renewable energy technologies							
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)							
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems							
Promotes the use of cogeneration							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		0	0	0			
Total (number of policy steps achieved):				0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the YELLOW cells to complete the table.

Table 11					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 4: Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions					
Activity		Number of audits or strategies completed	Number or audit recommendations or strategies implemented	SO Number for Activity	CN/TN Number for Activity
Ex	Steam & Combustion Efficiency Pilot Project	41	35	2.1	CN-577-92
1	ENERGY AUDITS NOVOSIBIRSK (ROLL)	1		1.6	
2	FUEL SWITCHING NOVOSIBIRSK (ROLL)	1		1.6	
3	EMISSION REDUCTION NOVOSIBIRSK (ROLL)	1		1.6	
4	CENEF ENERGY EFFICIENCY PROJECT - RFE	6		1.3	
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
Total:		9	0		

Please fill in the YELLOW cells to complete the table.

TABLE 12							
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas							
Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Renewable Energy Program	Dept. of Energy, World Bank-GEF	DOE direct buy-in to USAID. In FY99, GEF funded replication of NREP activity begun in FY98, called the Renewables for Economic Devt Proj.	\$120,000	\$2,500,000	2	CN-577-92
1							
2							
3							
4							
5							
6	NO ACTIVITY						
7							
8							
9							
10							
11							
12							
13							
14							
15							
Total:				\$0	\$0		

Definitions: Funding Leveraged	
Direct Leveraged Funding	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments.
Indirect Leveraged Funding	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Please fill in the YELLOW cells to complete the table.

TABLE 13				
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas				
Indicator 6a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGO's or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Example: Number of NGOs	5	Center for Cleaner Production, Association of Industrial Engineers, National Solar Energy Foundation, Clean Air Alliance, Institute for Industrial Efficiency	2.4	CN-577-92
Number of NGOs	1	CENTER FOR ENERGY EFFICIENCY	1.3	
Number of Private Institutions				
Number of Research/Educational Institutions	1	INSTITUTE ON HEALTH RISK ASSESSMENT	1.6	
Number of Pubic Institutions	7	ONE NATIONAL, SIX REGIONAL	1.6	
Total Number of Institutions Strengthened:	9			

Please fill in the YELLOW cells to complete the table.

Table 14					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
Category	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Example: Use of renewable energy technologies	1	1	Developed sustainable markets for renewable energy technologies. Over 200 renewable energy systems installed. Training for utilities, government officials, NGOs. Study on renewable energy applications completed.	2.4	CN-577-92
Improved demand-side management or integrated resource planning					
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers					
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes	4		VOLVOGRAD AIR MANAGEMENT PROJECT TRAINING; ISO14000; ECOLOGICAL INSPECTION OF FOSSIL FUEL FIRED PROCESSING PLANTS IN VARIOUS TYPES OF INDUSTRIES (2 CATEGORIES)		
Use of renewable energy technologies					
Use of cleaner fossil fuels (cleaner coal or natural gas)					
Introduction of cleaner modes of transportation and efficient transportation systems					
Use of cogeneration					
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance:	4	0			

D. Changes in the Management Contract

Europe and Eurasia Bureau's Management Contract with the Mission consists of USAID/Russia's Country Strategy and the cable entitled "Review of USAID/Russia's Assistance Strategy 1999-2003" dated April 5, 1999. Two areas of note have experienced changes. First, Strategic objective teams revised several intermediate results to better reflect program activities, as noted in the strategic objective narratives. Second, the Mission received less program FY 2000 funds than expected to finance activities under its strategic objectives. Hence, as detailed in the Resource Request narrative, several activities have been curtailed and delayed.

E. Budget Tables (attached)

Accessing Global Bureau Services Through Field Support and Buy-Ins

Objective Name	Field Support and Buy-Ins: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)			
				FY 2001		FY 2002	
				Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
SO 3.2	AIDSMARK (PSI) HRN-A-00-97-00021-00	High	2 years	0	2,200,000	0	2,200,000
SO 3.2	Quality Assurance Project (URC) HRN-C-00-96-90013-02	High	2 years	0	400,000	0	400,000
SO 3.2	Frontiers (Pop Council) HRN-A-00-98-00012-00	Medium-High	2 years	0	50,000	0	0
GRAND TOTAL.....				0	2,650,000	0	2,600,000

* For Priorities use high, medium-high, medium, medium-low, low

FY 2002 Budget Request by USAID/Russia

Fiscal Year: 2002 Program/Country:

Approp:

Scenario:

S.O. # , Title														
FY 2002 Request														Est. S.O. Pipeline End of FY2002
	Bilateral/Field Spt	Total	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expenditures
SO 1.3: Accelerated Development and Growth of Private Enterprises														
	Bilateral	13,900		13,900				0						10,000
	Field Spt													14,000
		13,900	0	13,900	0	0	0	0	0	0	0	0	0	14,000
SO 1.4: Improved Economic Infrastructure to Support Market-Oriented Growth														
	Bilateral	6,200		6,200										4,000
	Field Spt													4,000
		6,200	0	6,200	0	0	0	0	0	0	0	0	0	4,000
SO 1.6: Increased Environmental Management Capacity to Support Sustainable Economic Growth														
	Bilateral	6,750										6,750		4,500
	Field Spt	0												5,000
		6,750	0	0	0	0	0	0	0	0	0	6,750	0	4,500
SO 2.1: Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making														
	Bilateral	11,250											11,250	8,000
	Field Spt	0												10,000
		11,250	0	0	0	0	0	0	0	0	0	0	11,250	8,000
SO 2.2: Strengthened Rule of Law and Respect for Human Rights														
	Bilateral	6,250											6,250	4,000
	Field Spt	0												5,000
		6,250	0	0	0	0	0	0	0	0	0	0	6,250	4,000
SO 3.2: Improved Effectiveness of Selected Social Benefits and Services														
	Bilateral	12,050		600			1,300	4,650	2,000	500	2,500	500		8,000
	Field Spt	2,600						300		2,200	100			9,000
		14,650	0	600	0	0	1,300	4,950	2,000	2,700	2,600	500	0	8,000
SO 4.1: Special Initiatives														
	Bilateral	15,000		15,000										15,000
	Field Spt	0												10,000
		15,000	0	15,000	0	0	0	0	0	0	0	0	0	15,000
SO 4.2: Cross-Cutting Programs														
	Bilateral	14,000		12,000		2,000								13,000
	Field Spt	0												3,000
		14,000	0	12,000	0	2,000	0	0	0	0	0	0	0	13,000
Total Bilateral		85,400	0	47,700	0	2,000	1,300	4,650	2,000	500	2,500	7,250	17,500	66,500
Total Field Support		2,600	0	0	0	0	0	300	0	2,200	100	0	0	0
TOTAL PROGRAM		88,000	0	47,700	0	2,000	1,300	4,950	2,000	2,700	2,600	7,250	17,500	66,500

FY 2002 Request Agency Goal Totals	
Econ Growth	47,700
Democracy	17,500
HCD	2,000
PHN	13,550
Environment	7,250
Program ICASS	1,390
GCC (from all Goals)	4,650

FY 2002 Account Distribution (DA only)	
Dev. Assist Program	
Dev. Assist ICASS	
Dev. Assist Total:	
CSD Program	
CSD ICASS	
CSD Total:	

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (*) will be funded

from the CSD Account. (**) Health Promotion is normally

funded from the CSD Account, although amounts for Victims

of War/Victims of Torture are funded from the DA/DFA

FY 2001 Budget Request by USAID/Russia

Fiscal Year 2001 Program/Country: USAID/Russia

Approp: NIS

Scenario: Base Level

S.O.#, Title														
FY 2001 Request														
	Bilateral/ Field Spt	Total	Agri- culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expendi- tures
														Est. S.O. Pipeline End of FY2001
SO 1.3: Accelerated Development and Growth of Private Enterprises														
Bilateral	11,547			11,547				0						8,000
Field Spt														18,000
	11,547		0	11,547	0	0	0	0	0	0	0	0	0	8,000
SO 1.4: Improved Economic Infrastructure to Support Market-Oriented Growth														
Bilateral	5,900			5,900										4,000
Field Spt														5,000
	5,900		0	5,900	0	0	0	0	0	0	0	0	0	4,000
SO 1.6: Increased Environmental Management Capacity to Support Sustainable Economic Growth														
Bilateral	6,780											6,780		4,500
Field Spt	0													6,000
	6,780		0	0	0	0	0	0	0	0	0	6,780	0	4,500
SO 2.1: Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making														
Bilateral	10,000												10,000	8,000
Field Spt	0													12,000
	10,000		0	0	0	0	0	0	0	0	0	0	10,000	8,000
SO 2.2: Strengthened Rule of Law and Respect for Human Rights														
Bilateral	5,033												5,033	4,000
Field Spt	0													6,000
	5,033		0	0	0	0	0	0	0	0	0	0	5,033	4,000
SO 3.2: Improved Effectiveness of Selected Social Benefits and Services														
Bilateral	9,350			500			750	3,800	1,900	300	1,700	400		7,500
Field Spt	2,650						50	300		2,200	100			10,000
	12,000		0	500	0	0	800	4,100	1,900	2,500	1,800	400	0	7,500
SO 4.1: Special Initiatives														
Bilateral	15,000			15,000										15,000
Field Spt	0													10,000
	15,000		0	15,000	0	0	0	0	0	0	0	0	0	15,000
SO 4.2: Cross-Cutting Initiatives														
Bilateral	13,740			11,940		1,800								13,000
Field Spt	0													3,000
	13,740		0	11,940	0	1,800	0	0	0	0	0	0	0	13,000
Total Bilateral	77,350		0	44,887	0	1,800	750	3,800	1,900	300	1,700	7,180	15,033	64,000
Total Field Support	2,650		0	0	0	0	50	300	0	2,200	100	0	0	0
TOTAL PROGRAM	80,000		0	44,887	0	1,800	800	4,100	1,900	2,500	1,800	7,180	15,033	64,000

FY 2001 Request Agency Goal Totals	
Econ Growth	44,887
Democracy	15,033
HCD	1,800
PHN	11,100
Environment	7,180
Program ICASS	1,280
GCC (from all Goals)	4,580

FY 2001 Account Distribution (DA only)	
Dev. Assist Program	
Dev. Assist ICASS	
Dev. Assist Total:	
CSD Program	
CSD ICASS	
CSD Total:	

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

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FY 2000 Budget Request by USAID/Russia

Fiscal Year: 2000 Program/Country: USAID/Russia
 Approp: NIS
 Scenario: Base Level

S.O. # , Title															
FY 2000 Request														Est. S.O.	Pipeline
	Bilateral/ Field Spt	Total	Agri- culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Expendi- tures	End of FY2000
SO 1.3: Accelerated Development and Growth of Private Enterprises															
	Bilateral	11,797		11,797										7,000	20,000
	Field Spt	0													0
		11,797	0	11,797	0	0	0	0	0	0	0	0	0	7,000	20,000
SO 1.4: Improved Economic Infrastructure to Support Market-Oriented Growth															
	Bilateral	5,900		5,900										4,000	6,500
	Field Spt														
		5,900	0	5,900	0	0	0	0	0	0	0	0	0	4,000	6,500
SO 1.6: Increased Environmental Management Capacity to Support Sustainable Economic Growth															
	Bilateral	6,780										6,780		4,500	8,000
	Field Spt	0													
		6,780	0	0	0	0	0	0	0	0	0	6,780	0	4,500	8,000
SO 2.1: Increased, Better Informed Citizens' Participation in Political and Economic Decision-Making															
	Bilateral	8,824											8,824	6,000	15,000
	Field Spt	0													
		8,824	0	0	0	0	0	0	0	0	0	0	8,824	6,000	15,000
SO 2.2: Strengthened Rule of Law and Respect for Human Rights															
	Bilateral	5,709											5,709	3,500	7,000
	Field Spt	0													
		5,709	0	0	0	0	0	0	0	0	0	0	5,709	3,500	7,000
SO 3.2: Improved Effectiveness of Selected Social Benefits and Services															
	Bilateral	9,700		500			900	3,350	2,200	150	2,200	400		7,000	13,000
	Field Spt	2,050					50	300		1,600	100				
		11,750	0	500	0	0	950	3,650	2,200	1,750	2,300	400	0	7,000	13,000
SO 4.1: Special Initiatives															
	Bilateral	5,000		5,000										5,000	5,000
	Field Spt	0													
		5,000	0	5,000	0	0	0	0	0	0	0	0	0	5,000	5,000
SO 4.2: Cross-cutting programs															
	Bilateral	10,040		9,040		1,000								9,000	2,000
	Field Spt	0													
		10,040	0	9,040	0	1,000	0	0	0	0	0	0	0	9,000	2,000
Total Bilateral		63,750	0	32,237	0	1,000	900	3,350	2,200	150	2,200	7,180	14,533	46,000	76,500
Total Field Support		2,050	0	0	0	0	50	300	0	1,600	100	0	0	0	0
TOTAL PROGRAM		65,800	0	32,237	0	1,000	950	3,650	2,200	1,750	2,300	7,180	14,533	46,000	76,500

FY 2000 Request Agency Goal Totals	
Econ Growth	32,237
Democracy	14,533
HCD	1,000
PHN	10,850
Environment	7,180
Program ICASS	0
GCC (from all Goals)	5,400

FY 2000 Account Distribution (DA only)	
Dev. Assist Program	
Dev. Assist ICASS	
Dev. Assist Total:	
CSD Program	
CSD ICASS	
CSD Total:	

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account. (**) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

CONTROLLER OPERATIONS

Org. Title: Russia		Overseas Mission Budgets								
Org. No: 118		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1	0	0	0	0	0	0	0	0	0
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0			0			0
11.5	FNDH			0			0			0
	Subtotal OC 11.5	0	0	0	0	0	0	0	0	0
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	137.12		137.12	140.81		140.81	54.03		54.03
11.8	FN PSC Salaries	278.72		278.72	286.21		286.21	292.08		292.08
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8	415.84	0	415.84	427.02	0	427.02	346.11	0	346.11
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	30.8		30.8	30.8		30.8	61.8		61.8
12.1	Cost of Living Allowances	6.7		6.7	14.22		14.22	14.52		14.52
12.1	Home Service Transfer Allowances			0			0			0
12.1	Quarters Allowances			0			0			0
12.1	Other Misc. USDH Benefits	6		6			0	6		6
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1	Other FNDH Benefits			0			0			0
12.1	US PSC Benefits	30.92		30.92	70.52		70.52	4.14		4.14
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1	Other FN PSC Benefits	105.18		105.18	107.92		107.92	109.9		109.9
12.1	IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1	179.6	0	179.6	223.46	0	223.46	196.36	0	196.36

CONTROLLER OPERATIONS

Org. Title: Russia		Overseas Mission Budgets								
Org. No: 118		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel	2.7		2.7			0			0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field	3		3			0	2.4		2.4
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel	1.6		1.6	2.2		2.2	5.5		5.5
21.0	R & R Travel	2.71		2.71	4.4		4.4	7.1		7.1
21.0	Education Travel			0			0			0
21.0	Evacuation Travel	6		6	6		6	6		6
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0			0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0			0			0
21.0	Site Visits - Mission Personnel			0			0			0
21.0	Conferences/Seminars/Meetings/Retreats			0			0			0
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel	2		2	2		2	2		2
	Subtotal OC 21.0	18.01	0	18.01	14.6	0	14.6	23	0	23
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	20		20			0	20		20
22.0	Home Leave Freight	5		5	5		5	5		5
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

CONTROLLER OPERATIONS

Org. Title: Russia		Overseas Mission Budgets								
Org. No: 118		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	25	0	25	5	0	5	25	0	25
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences	160		160	160		160	100		100
	Subtotal OC 23.2	160	0	160	160	0	160	100	0	100
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0			0
23.3	Residential Utilities			0			0			0
23.3	Telephone Costs			0			0			0
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	0	0	0	0	0	0
24.0	Printing and Reproduction			0			0			0
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0
25.2	Residential Security Guard Services			0			0			0
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

CONTROLLER OPERATIONS

Org. Title: Russia		Overseas Mission Budgets								
Org. No: 118		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0			0			0
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	0	0	0	0	0	0
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0			0			0
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	0	0	0	0	0	0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0			0			0
25.4	Residential Building Maintenance			0			0			0
	Subtotal OC 25.4	0	0	0	0	0	0	0	0	0
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0			0
25.7	Vehicle Repair and Maintenance			0			0			0
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0
	Subtotal OC 25.7	0	0	0	0	0	0	0	0	0
25.8	Subsistence & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0

CONTROLLER OPERATIONS

Org. Title: Russia		Overseas Mission Budgets								
Org. No: 118		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0			0			0
	Subtotal OC 26.0	0	0	0	0	0	0	0	0	0
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0			0			0
31.0	Purchase of Office Furniture/Equip.	0.84		0.84			0			0
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0			0
31.0	ADP Software purchases			0			0			0
	Subtotal OC 31.0	0.84	0	0.84	0	0	0	0	0	0
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
TOTAL BUDGET		799.29	0	799.29	830.08	0	830.08	690.47	0	690.47

Additional Mandatory Information

Dollars Used for Local Currency Purchases

Exchange Rate Used in Computations

** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal: 0 0 0